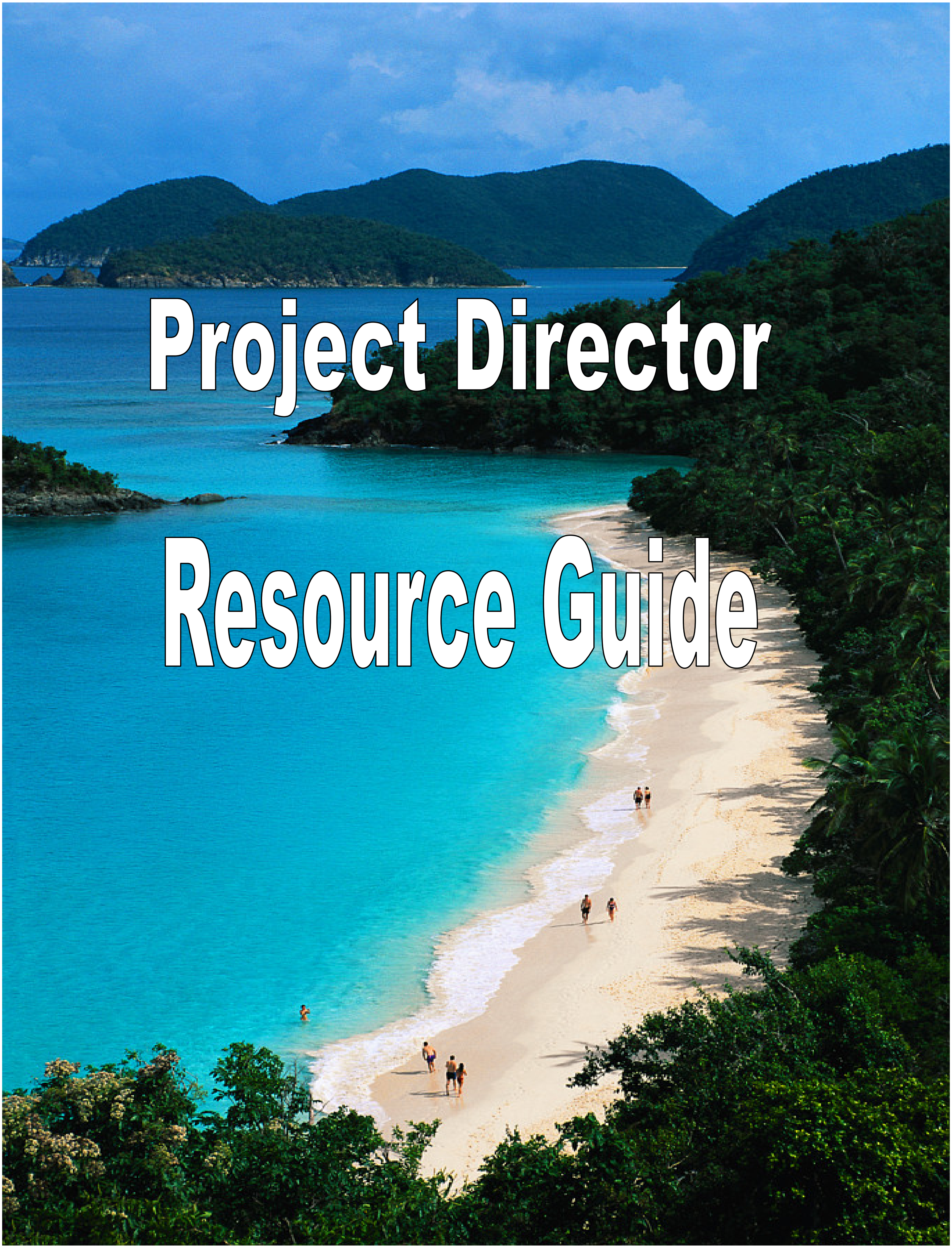
Project Director

Resource Guide



Introduction

The reference materials contained in this resource guide will give you an overview of the expectations that the State Water Resources Control Board (State Water Board) has regarding management and implementation of your project.

The resource guide will introduce you to the negotiation and grant execution process, the forms and templates the State Water Board expects you to complete, Internet resources available to you, the reports you will have to submit, and the invoice process for reimbursement of your expenditures.

The resource guide is divided into the following categories:

Roles of Key Players

Explanation of the roles of the key players in the grant process: the State Water Board, Division of Financial Services, Office of Chief Counsel, the Project Director, the Grant Contact, the Grant Manager, and the Program Analyst.

Grant Process

The overview contains a brief step-by step description of the entire grant process beginning with the negotiation process through the grant execution process. It also contains a brief explanation of contracting or subcontracting out project work.

Depending on the type of project you are implementing, this section provides a brief explanation of the types of plans (e.g., Monitoring Plan), compliance requirements (e.g., CEQA) and/or supporting documentation (pre/post photos) you may be required to provide to the State Water Board. It also provides a brief overview explaining how to amend an executed agreement should the need arise.

The State Water Board changed from a contract process as the legal agreement between the State Water Board and the grant recipient to a grant agreement process. The legal agreement for many projects in process is a contract. The overview provides a description of the contract vs. the grant agreement process. All grants awarded after 2004 use the grant agreement process.

Forms and Templates

This section provides a copy of each form or template the State Water Board will provide you and a brief explanation of when you will receive the form, a reason why it is required, and when you need you to complete it.

Introduction

Invoice Process

The State Water Board will provide an invoice template for your use after the grant is executed. This section discusses the invoice process, expected supporting documentation, and helpful hints for submitting invoices.

Resources

This section explains how to access the State Water Board, Division of Financial Assistance web page that provides resources for the Project Director including some of the forms and documents contained in this resource guide.

For your convenience, a list of helpful web links specifically related to the grant implementation process is provided as well as a glossary of terms, and a list of commonly used acronyms.

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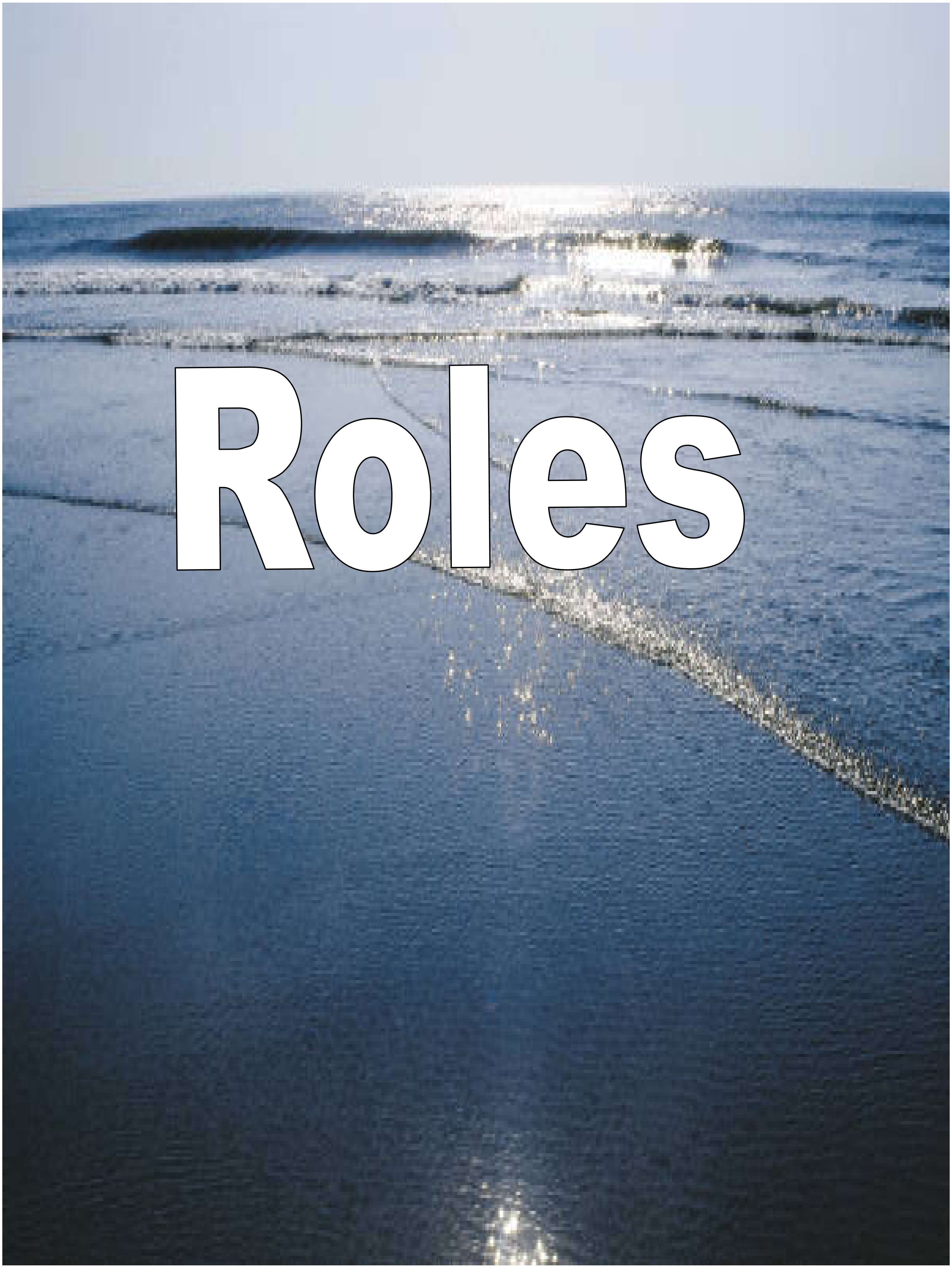
Roles

Brief Overview of the Roles of Key Players

The key players in the grant process work together, as a team, to facilitate the smooth execution of the grant agreement, ensure project goals are met, the project is completed in a timely manner, and reimburse expenditures invoiced promptly.

Division of Financial Assistance

The Division of Financial Assistance (DFA), State Water Resources Control Board (State Water Board), has the administrative and financial oversight for administering the bond funds and the grant process. The role of DFA management includes, but is not limited to, the following:

- Provide the guidelines and solicitation notices for applicants to apply for grant funding.
- Responsible for the review of grant applications and recommendation for funding.
- Oversees and tracks grant funds.
- Reviews legislation and Proposition Bond language to determine the requirements of the program and make budgetary decisions. DFA also prepares and submits reports to the legislature regarding the performance of each program.
- Approval of any deviation from proposed or approved project scope of work or budget.
- Provide environmental clearance as the Responsible Agency in the California Environmental Quality Act (CEQA) process.
- Approval of any request for time extension.
- Oversight of administrative process for grant and/or amendment execution, and prompt payment of invoices.

Office of Chief Counsel

The State Water Board's Office of Chief Counsel (OCC) reviews each grant to verify that the requirements of the legislation are addressed. OCC also provides guidance to the program by interpreting legislation, addressing questions regarding the exhibits in the grant template, and providing legal advice on issues that may arise during grant negotiations, execution, and invoicing.

Brief Overview of the Roles of Key Players

Project Director

An employee designated by the grant recipient's organization, responsible for management of the technical and administrative aspects of the grant agreement. The Project Director is ultimately responsible for the completion of the project and adhering to the terms of the agreement. [Refer to Role of Project Director]

Grant Contact

The Project Director may delegate work to the Grant Contact for the day-to-day implementation of the grant project. The Grant Contact's name is noted in the grant agreement. Should the Grant Contact change after the agreement is executed, the Project Director must provide written notification to the Grant Manager designating someone else for this role.

Grant Manager

A person designated by the State Water Board or Regional Water Board to manage performance of the grant agreement. For some statewide grants the designated person may be referred to as the Project Manager. [Refer to Role of the Grant Manager]

Program Analyst

A person designated by the State Water Board who is responsible for the administrative aspect of the grant agreement. [Refer to Role of the Program Analyst]

Role of the Project Director
In the Grant Process

Grants are a helpful tool to gain widespread support for our efforts to preserve, enhance and restore the quality of California's water resources.

The Project Director is ultimately responsible for the completion of the work outlined in the grant agreement for their project and to provide the Grant Manager and the Program Analyst with timely action and/or responses to requests/inquiries. In this manner, the Project Director helps to ensure that the project meets the intent and purpose of the grant program.

Prior to Grant Execution

- Sign and return all required forms to the Program Analyst (PA) or Grant Manager (GM) as instructed.

- If applicable, prepare Resolution allowing your Agency to enter into a Grant Agreement with the State Water Resources Control Board (State Water Board). The PA will provide a sample resolution with the minimum information required. The resolution should include:

    - Delegation of signature authority for the grant agreement and any amendments.

    - Reference to the correct funding source (e.g. Proposition 13, Proposition 40).

    - The grant agreement cannot be executed without the signed Resolution accepting the grant funds. During grant negotiations, the Project Director (PD) should schedule the Resolution approval on the Board's agenda for a time in the future when the PD is reasonably comfortable a final agreement document will be available for Board review. This will ensure that the agreement is executed and the project can begin in a timely manner.

Deviations from the Work Outlined in the Proposal

Any deviation from the original proposal requires approval from the State Water Board's Program Manager (PM) PRIOR to beginning negotiations.

- The GM will provide the PD an electronic version of the Request for Deviation Form. Complete form and return to the GM. Include all proposed changes including, but not limited to:

    - Justification for not doing the work.
    - How the project will still fulfill the original intent of the grant proposal.
    - How the changes will enhance the project.

    - Address decrease in funding level if all of the work in the original proposal will not be done.

- The GM will review and approve or deny the request. If approved, the GM will submit the form to the PA. The PA will facilitate review and approval of request from the PM.

- Once <u>written</u> approval is received from the PM, the PA will proceed to develop the draft grant agreement incorporating the changes.

Negotiating the Grant Agreement

- As needed, participate in conference calls with your GM and PA to discuss the draft grant agreement.

- Quick resolution to issues, questions, and necessary changes to the grant agreement are very important. Text changes discussed in the negotiations should be made by the PD using "track changes" (i.e. strikeout & underline) and promptly e-mailed to the GM and PA.

- Prepare and submit a final version of the grant agreement to the GM and PA electronically in an expeditious manner.

Receipt of Final Grant Agreement Package

- Facilitate obtaining a Resolution from your Board (if applicable).

- Facilitate review and signature of the four grant agreement sets from the person delegated signature authority.

- Return signed agreements and all required paperwork to the attention of the PA at the address provided on the cover letter. Overnight mailing will speed up the process.

After Grant Execution

- Keep project on task per negotiated time lines.

- Keep lines of communication open with GM. Notify GM of any expected delays or other issues that may come up. Notify GM immediately if a deviation from the approved scope of work may be required.

Role of the Project Director
In the Grant Process

- Prepare and submit to the GM a quarterly/monthly invoice using the invoice template provided by the State Water Board. Supporting documentation for all invoiced amounts, as well as reported match, must accompany each invoice.

- For projects executed prior to October 2005, submit the Standard Requirements Certification form along with the invoice when applicable. For projects using an invoice template provided by the State Water Board dated 9/26/05 or later, the Standard Requirements Certification Form is no longer required.

- Submit all CEQA documents, plans, progress reports (with supporting documentation), invoices, and any other required documents in a timely manner and in the required format to the GM.

- Receive quarterly/monthly Invoice Tracking Sheet from the PA.

- Maintain auditable file for 3, 23, or 36 years as indicated in your grant agreement.

Role of the Grant Manager*
In The Grant Process

Grants are a helpful tool to gain widespread support for our efforts to preserve, enhance and restore the quality of California's water resources.

The Grant Manager's role is to provide technical oversight to ensure that projects meet the intent and purpose of the grant program. In this way the Grant Manager is responsible for the integrity of the program and provides excellent stewardship of our water resources.

Grant Manager is responsible for the technical merit of the grant agreement, and creating and maintaining the Regional Water Board auditable file.

Post-award and Prior to Negotiating the Agreement

- Sign the Statement of Independence Form and mail to Program Analyst.

Negotiating the Agreement

- Review the draft grant agreement received from the Program Analyst (PA) and compare to the approved proposal. Grant Manager (GM) has responsibility for final approval of Exhibit A (Scope of Work) and the corresponding line item budget in Exhibit B.

- When necessary, send the PA the Request for Deviation Form, completed by the Project Director (PD), for work that differs from the proposal.

- If needed, confer with or e-mail PA regarding comments and follow up on any commitments in a timely fashion.

- Update draft grant agreement, using track changes, to include all comments/revisions discussed and/or agreed upon. GM and PA must agree on draft agreement prior to draft being sent to PD for review.

- E-mail draft grant agreement to the PD with a copy to PA.

- Schedule a conference call with the PD and PA to resolve any issues in the scope of work or budget.

  - E-mail the draft agreement with the PD and GM comments to the PA one or two days prior to the conference call.

*Must be certified through Division of Financial Assistance Grant & Contract Manager Training. Certification is valid for three (3) years.

Role of the Grant Manager*
In The Grant Process

  - GM and PA should carefully record agreements made during the conference call. The GM is responsible to ensure the PD makes the agreed upon changes in the draft agreement.

  - PD e-mails changes back to the GM for review and approval.

  - GM e-mails final grant agreement to the PA.

- PA prepares final draft of the grant agreement for DFA management review.

Executing the Agreement

- GM and Executive Officer (EO) sign the Grant Request Form received from PA. Each signature and date must be original (in ink).

  - If someone other than the EO or Assistant EO is signing the form, a signature delegation letter must be submitted for the State Board's Division of Financial Assistance and Division of Administrative Services' file.

- Submit the original Grant Request Form to the PA.

Managing an Executed Grant

- As applicable, monitor progress of the grant by performance of the following:

  - Make site visits and complete Site Visit Form.

  - Prepare field reports, and if necessary, take color photos.

  - Keep records of all communication with the PD and send copies to PA to document issues that may arise. The correspondence may be reviewed to track reasons why the project is falling behind schedule, the need for a deviation in the scope of work, and/or justification for possible amendments to the executed agreement.

  - Forward California Environmental Quality Act (CEQA) documents to the State Water Board's Regional Programs Unit for review and environmental clearance (when environmental clearance is not given prior to funding).

  - Ensure all required documents are received in a timely manner or contact PD for justification.

*Must be certified through Division of Financial Assistance Grant & Contract Manager Training. Certification is valid for three (3) years.

        - If project falls too far behind schedule, initiate the Breach of Agreement/ Termination process.

    - Review, comment, and/or approve all reports and work products as required in the agreement.

- Review and approve progress reports using checklist. DO NOT SEND reports to the PA.

Invoices

- Within 7 **calendar** days of receipt of an invoice from PD, the GM must:

    - Review and approve invoice using the checklist. Mail copy of signed invoice (PD & GM) to PA. Minor corrections may be made and initialed in ink by the GM. Include a note in the file documenting PD concurrence.

    - For projects in process with a previously executed grant from the State Water Board, submit the original signed Standard Requirements Certification Form to the PA. For projects using an invoice template provided by the State Water Board dated 9/26/05 or later, the Standard Requirements Certification Form is no longer required.

- **Invoice Disputes**:

    - Resolve and document all invoice disputes with PD.

    - Complete Invoice Dispute Form and send to PD (when applicable) with a copy to Program Analyst.

Grants Amendments

- Modifications to the grant agreement are not allowed. Contact PA to discuss any required revision to the grant.

- All changes require a grant amendment, with the following exceptions:

    - Transfer of up to 15% between budget line items.
    - Change in designee for signature authority, Project Director, or Grant Contact.

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Role of the Grant Manager*
In The Grant Process

- When the revision involves a deviation or request for time extension, provide the appropriate form to the PD for completion.

Grant Agreement Close-Out

- Review file (using Auditable File Checklist) to ensure all applicable documents were submitted.
- Ensure PD submits National Resource Project Inventory (NRPI) project summary form. Submit copy to PA.
- Review and approve Final Project Report. Notify the PA when report has been approved.
- Review and approve final invoice. Notify PA approving the release of the 10% previously withheld.
- Close auditable file and maintain on-site for three years. Then forward file to PA for archive storage.

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Role of the Program Analyst*
In the Grant Process

Grants are a helpful tool to gain widespread support for our efforts to preserve, enhance and restore the quality of California's water resources.

The Program Analyst's role is to provide administrative oversight to ensure that projects meet administrative requirements and that invoices are paid promptly. In this way Program Analysts maintain the integrity of the grant program and provide excellent customer service.

Program Analyst is responsible for the administrative integrity and creating and/or maintaining the State Water Board auditable file.

Post-Award and Activities Prior to Negotiating the Agreement

- The Program Analyst (PA) will send the Grant Manager (GM) a copy of any letter or e-mail sent to the Project Director.
- Send to the Project Director (PD), via e-mail (cc GM), a copy of Roles for PD, GM, and PA, the Project Director Certification Form and, for non-governmental agencies, the Payee Data Record (STD 204).
- Send to the PD, via e-mail (cc GM), the California Environmental Quality Act (CEQA) Environmental Information Form. This form must be completed and returned prior to grant execution.
- Sign the *Statement of Independence* Form signed by GM and file
- Verify legal name of applicant with the Secretary of State at www.ss.ca.gov, click on California Business Portal, on left side of screen, click on California Business Search.
- If entity is a non- profit, the grantee must submit to the PA a current Internal Revenue Service (IRS) form 501(c)(3), 501(c)(4), or 501(c)(5).
- If the entity claims to be a member of a tribe, they must provide documentation of federal recognition.
- Notify grantees if an Agency Resolution is needed and provide example (final resolution not needed until the package is ready to go to OCC for 2nd review).

*Must be certified through Division of Financial Assistance Grant & Contract Manager Training. Certification is valid for three (3) years.

Role of the Program Analyst*
In the Grant Process

Negotiating the Agreement

- Prepare draft grant agreement by inserting scope of work (SOW) into grant template. Any revisions from the awarded proposal should be limited to administrative, legal or format issues and shown in strikeout/underline format. Questions should be highlighted. E-mail to GM for review and approval.
- As needed, participate in conference call(s) with the GM and the PD.
- Process Request for Deviation when a change in the scope of work is requested.

Executing the Agreement

- Prepare Grant Request Form and e-mail to GM for signatures.
- Review final agreement documents from GM for completeness.
- Route final agreement and supporting paperwork through management and Office of Chief Counsel (OCC) and for review and signature approval.
- PA must be available to field questions from the Division of Administrative Services (DAS) or OCC during their review periods. As necessary, obtain clarifications from the GM and/or PD to support timely review and processing of the grant agreement.
- Send copy of Grant Request Form to DAS Grants/Contracts Section (to encumber the funds).
- Send four original Grant Agreements to the grantee for signature. Notify the GM when the forms are sent to the grantee for signature.
- PA receives four original signed Agreements from grantee and reviews to ensure no modifications were made; verifies signature authority and funding on Agency Resolution; and confirms receipt of any outstanding required documents.
- Send final grant agreement package to OCC and then to DAS for execution. DAS returns two copies with original signatures. One copy with original signatures is kept in PA's file.
- Mail an executed grant agreement with original signatures to grantee and a copy of the executed grant agreement to the GM.

*Must be certified through Division of Financial Assistance Grant & Contract Manager Training. Certification is valid for three (3) years.

Role of the Program Analyst*
In the Grant Process

After the Agreement is Executed

- PA will send the PC the Grant Summary Form, Progress Report template, and the invoice template (with cc to GM).
- Review invoice using the invoice checklist.
- Create project-specific tracking spreadsheet for expenditures and e-mail to the PD and GM after each invoice is paid.
- Track expenditures to the line item budget. Ensure no particular line item is over expended. Ensure no more than 90% of total grant award is spent prior to approval of the final invoice.
- Track receipt of *Standard Requirement Certification Form* when applicable. For grant recipients using an invoice template dated 9/26/05 or later, the Standard Requirements Certification Form is no longer required.
- Ensure approved invoices are hand-delivered to the State Water Board Accounting Office for payment.
- Receive and file invoice dispute forms from the GM.
- Track and record receipt of the Grant Summary Form due within three (3) months of the Agreement execution then post to the State Water Board web site.
- Facilitate review and approval of requests for time extension or deviation.
- Review amendments and related forms, provide feedback, process paperwork, and hand-deliver to the OCC.

Grant Agreement Close-Out

- Ensure receipt of Natural Resource Projects Inventory (NRPI) Project Survey Form http://www.ice.ucdavis.edu/nrpi due at project completion and prior to processing the final invoice.
- Ensure final report was received and approved by GM.
- Pay final invoice, authorize reimbursement of 10% withheld (based on GM approval) and disencumber remaining funds.

*Must be certified through Division of Financial Assistance Grant & Contract Manager Training. Certification is valid for three (3) years.

Role of the Program Analyst*
In the Grant Process

- Send letter to PD (cc to GM) regarding payment of the final invoice and informing the PD that any unspent funds will be disencumbered.
- Close auditable file and maintain on-site.
- After 3 years, merge auditable files (Regional and State Water Board).

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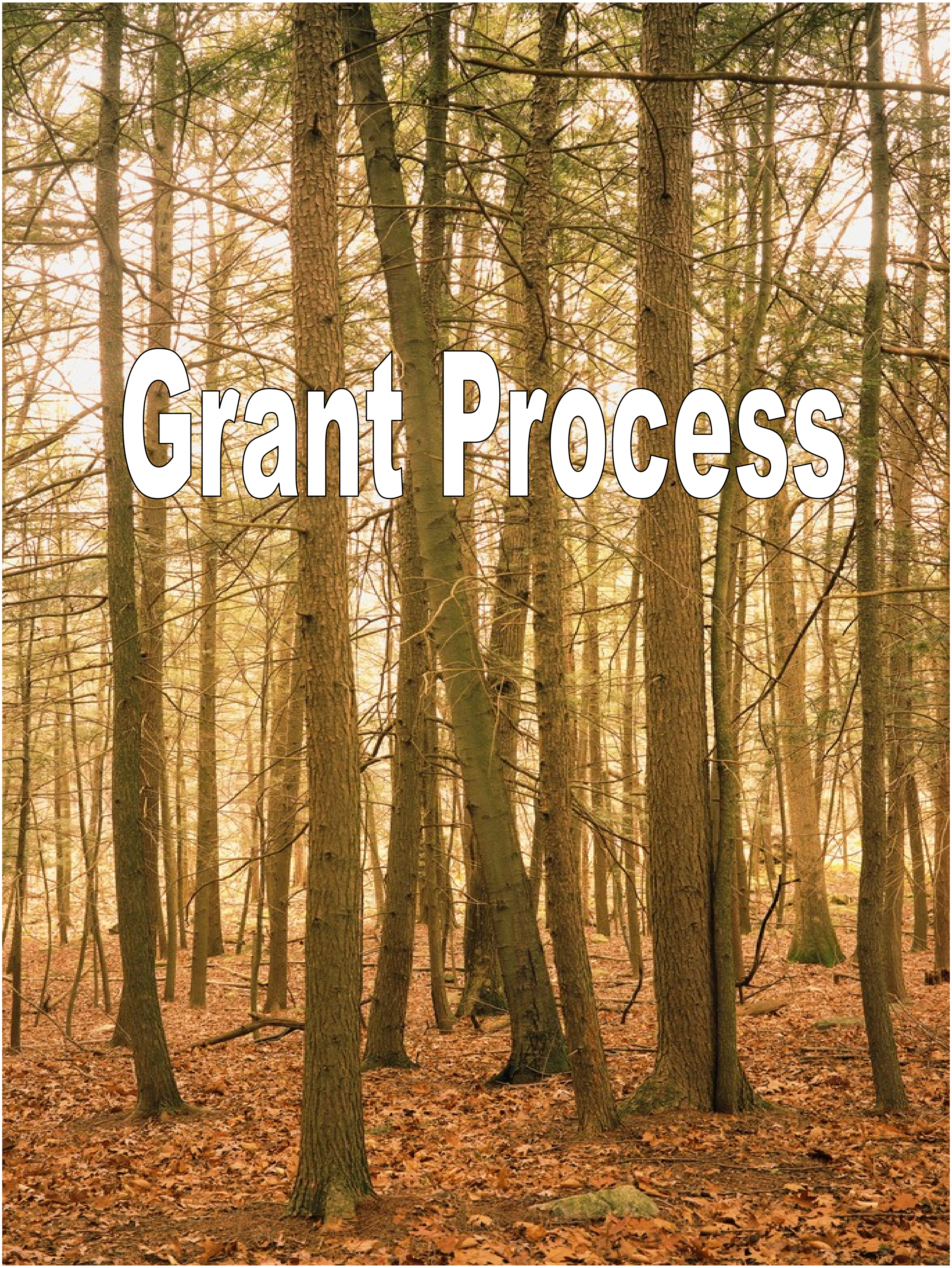

Grant Process

Brief Overview of Grant Process

I was awarded a grant, what happens next?

The Grant Manager (GM) and the Program Analyst (PA) will contact the Project Director (PD) to introduce themselves. The PA will e-mail the roles of the key players [refer to Roles section of the resource guide], the Project Director Certification Form, a sample Board Resolution (if needed) and the California Environmental Quality Act (CEQA) Environmental Information Form [refer to Forms and Templates section of the resource guide].

Developing the Grant Agreement

The PA downloads the electronic grant application from the Financial Assistance Application Submittal Tool (FAAST) and drafts a grant agreement using the application to develop the scope of work and budget.

The grant agreement contains a signature page and up to four exhibits:

Exhibit A – Scope of Work

The scope of work describes the project in detail, any required items for submittal, and contains the Table of Items for Submittal with a timeline of due dates for each submittal item.

Exhibit B – Invoicing, Budget Detail and Reporting Provisions

Describes invoicing and reporting requirements.

Exhibit C – State Water Board General Conditions

Contains standard terms and conditions which are generally not negotiable. In unique circumstances, the State Water Board may consider revising a specific provision on a case-by-case basis.

Exhibit D – Grant Program Terms & Conditions

Contains legislative requirements specific to a particular funding source. May not apply to all grant templates and cannot be revised.

Negotiation

Once the PA completes the draft of the grant agreement, the PA forwards an electronic copy to the GM. When the GM receives the draft grant agreement the negotiation process begins [refer to the Agreement Negotiation and Execution Process section of the resource guide].

Grant Execution

After the PA receives the final draft grant agreement from the GM, the PA facilitates the State Water Board management review and approval process. Once approved, four sets of the agreement are mailed to the PD to facilitate the signature process.

Brief Overview of Grant Process

Project Implementation

Once the project begins, the PD is responsible for keeping the project on track within the negotiated times lines, submitting all required reports, and for the general administrative oversight of the project. The PD works closely with the GM during the implementation phase. The PD should immediately notify the GM of any unexpected delays in the project or if there is any reason that a deviation from the scope of work may be necessary. The PA should be copied on correspondence and e-mails regarding the progress of the project.

Reimbursement

Invoices for reimbursement are typically submitted on a regular basis per the schedule outlined in the grant agreement [refer to Invoice section in the resource guide]. All invoices must be submitted with documentation that supports the amount invoiced. If your grant agreement includes match, you must also submit documentation to support the amount claimed as match for each invoice.

Ten percent of the grant amount will be withheld until the final report is received and the final invoice is paid. The State Water Board will reimburse up to 90% of the grant amount prior to the final invoice. Once the project is complete, the final report is approved, the National Resource Project Inventory (NRPI) Project Survey Form is submitted, and the final invoice is approved, the 10% previously withheld will be reimbursed.

Agreement Negotiation and Execution Process

Negotiation Process

The Program Analyst (PA) develops the initial draft grant agreement using the application and proposal to develop the scope of work and budget. The PA forwards an electronic copy of the draft grant agreement to the Grant Manager (GM) when completed.

Once the GM receives the draft grant agreement, the scope of work negotiation process begins. The GM will make suggested revisions using the Microsoft Word tracking feature and discuss those changes with the PA. When both the GM and PA agree on the draft scope of work and budget, the GM forwards an electronic copy of the draft agreement with all track changes to the Project Director (PD) and PA [refer to Project Director Negotiation Log in the Form and Templates section of the resource guide].

During negotiation between the GM and PD, any change in the proposed scope of work is considered a deviation and subject to prior review and approval from the State Water Board before negotiations may continue.

The GM schedules a 3-way conference call [refer to the 3-Way Conference Call checklist in the Form and Templates section of the resource guide]. During the 3-way conference call, the PD, GM, and PA will raise any questions or issues they may have. A start date for the project is agreed upon. The PD will revise the draft agreement, using the Microsoft Word tracking feature, to address all comments and revisions agreed upon in the 3-way conference. The PD submits an electronic copy of the final draft agreement to the GM. The GM reviews the final draft agreement. If the GM disagrees with any portion of the final draft agreement, it is returned to the Project Director to make changes. When the GM approves the final draft agreement, the GM forwards the electronic final draft agreement to the PA.

Grant Execution Process

After the PA receives the final draft agreement from the GM, the PA produces a “clean” version of the agreement without the track changes, and facilitates the State Water Board management review and approval process.

Once approved by State Water Board management and legal office, four sets of the agreement are mailed to the PD to facilitate the signature process. Unless the grant agreement is with a State Department, a Board Resolution [refer to Sample Board Resolution in the Forms and Templates section of the resource guide] must be submitted with the signed grant agreements. The PD should submit a request to be scheduled on the grantee’s Board’s agenda for project approval and to obtain a Board Resolution prior to agreements being mailed to the Project Director. After the 3-way conference call is typically a good time to check when the next Board meeting will be held. Once you receive the agreements for signature, having your project prescheduled for Board approval, will facilitate the grant execution process.

Agreement Negotiation and Execution Process

Work on the project should not begin until the agreement is executed. However, for grants awarded through the 2005-06 Consolidated Grant Guidelines, the grantee is allowed to start work as early as January 4, 2006. Work performed, prior to grant execution, is not reimbursable through grant funds, but must be financed using the grantee's matching funds contribution.

Contracting or Subcontracting Out Project Work

Part of the negotiated scope of work in the executed agreement between the State Water Board and the grant recipient may include work on the project that is contracted or subcontracted out.

Since the State Water Board awards grants through a formal agreement process, any portion of work on the project that will not be completed by employees of the grant recipient may be contracted out. The selected contractor may in turn subcontract out a portion of the work.

The grant recipient must follow their own Board's adopted resolution or policy for the competitive bidding, sole source, and contract award process. Subcontractors must also adhere to their own agency written policy for the competitive bidding, sole source, and contract award process. State agencies must comply with the Department of General Services (DGS) Contract Manual. If an agency does not have written policy to award contracts through a competitive bidding or sole source process, the DGS Contract Manual rules must be followed.

DGS Contract Manual is available on-line at http://www.ols.dgs.ca.gov/Contract+Manual/default.html. Chapter 2, section 2.04 contains an overview of the State contracting process and describes issues such as bidding method process, competitive solicitation process, award process, and inclusion of process to facilitate measurement of achievement and measurement of contractor performance. Section 2.05 lists the elements of a valid contract

The following issues pertain specifically to the grant agreement between the State Water Board and the grant recipient:

1. ***The grant recipient and any contractor and/or subcontractor must comply with Exhibit C, General Conditions, of the State Water Board grant agreement***.

2. Any contract and/or subcontract is between the grant recipient and the contractor. **The State and Regional Water Board Grant Managers do not review contracts or subcontracts.** The grant recipient must maintain documentation on the selection and award of contracts and subcontracts for their auditable file.

3. The grant recipient may not use a contractor or subcontractor that is on the federal excluded list of contractors. This information can be found at www.epls.gov.

Ten Easy Steps for the Project Director to Finalize the Scope of Work

1. Use the Project Director Negotiation Log to keep track of dates (**Optional**).

2. Review the draft grant template provided by the Grant Manager (GM).
   - Compare the draft scope of work with the project proposal.
   - Determine if the scope of work reflects the project as proposed.

3. Any deviation from the scope of work proposed in the application requires State Water Board approval prior to negotiation. Should this occur, discuss the proposed changes with the GM. If the GM approves of the proposed deviation, the GM will provide a Request for Deviation Form. The PD must complete the form to justify the deviation before the scope is negotiated.
   - Before submitting a proposed deviation, be sure the changes result in an improved project.
   - Send Request for Deviation Form to GM. GM will facilitate the approval process and notify the PD of the State Water Board's decision.

4. Edit the draft scope of work provided by the GM using the strike-out and underline tracking feature in MS Word. E-mail your version of the back to the GM.

5. Discuss combined comments with GM in a two-way phone call. Adjust combined comments if needed to reflect anything new from the two-way call.

6. Send combined comments to the GM via e-mail.

7. Discuss combined comments with GM and PA in a three-way call. Project Director is responsible for final draft. During this call, set a date the final draft will be provided.

8. Repeat 4 – 7 as needed with revised drafts until all agree on a final scope. It may take several rounds of "receive-review-revise" to get a final scope. Send final draft scope of work to GM via e-mail.

9. Wait for the PA to process the remaining paperwork needed to execute the Grant Agreement. The PA will mail four copies of the final Grant Agreement to the Project Director to facilitate signature. The Project Director will receive an executed copy in the mail.

10. While PA is processing the final paperwork, ensure you are scheduled on the next Board agenda to get approval for signature of the grant agreement and to obtain the Board Resolution (when applicable).

Common Problems

1. Draft scope of work in the proposal is poorly written and tasks are badly explained.

    - This is pretty easy to fix by revising fuzzy language or re-organizing work items.

    - Final scope should be clear enough for someone not otherwise knowledgeable of the project to understand what's being done, as well as why, how, where, and when.

2. Draft scope of work in the proposal lacks specifics as to how many, how often, etc.

    - Add minimum standards where appropriate, e.g., "at a minimum, 15 volunteers will be recruited" or "a minimum of 10 workshops will be given."

    - "Work to be Performed" and "Table of items for Submittal" should be specific enough to avoid misunderstandings and allow the GM to determine whether a task has been adequately completed for payment of the invoice.

3. The draft grant agreement provided by the State Water Board does not reflect potential changes to the project scope of work that may have occurred after the proposal was submitted for funding.

    - State Water Board approval is required for any deviation from the proposed scope of work before negotiations can continue.

    - Final scope of work should be at least as good, if not better, than what was proposed.

Plans and Compliance Requirements

Project Assessment and Evaluation Plan (PAEP)

A PAEP must be submitted for each project. The PAEP is a plan that outlines the information that will be collected and used to show progress, identify problems, and measure success. The PAEP is the first plan due to the Grant Manager and the due date is negotiated prior to agreement execution. More information about the PAEP can be found on the State Water Board web site at http://www.waterboards.ca.gov/funding/paep.html.

Monitoring Plan (MP)

A MP is required if a portion of the project involves monitoring. The plan delineates location, and identifies frequency and constituents for projects including sampling and monitoring. The MP is typically due to the GM within 90 days but the due date is negotiated prior to agreement execution. If a MP is required, a Quality Assurance Project Plan (QAPP) is also required. The frequency of monitoring report submitted to the GM will be negotiated prior to agreement execution. The Grant Manager must approve the Monitoring Plan and the Quality Assurance Project Plan before the actual monitoring may begin.

Quality Assurance Project Plan (QAPP)

The QAPP is a written document that outlines the procedures a monitoring project will use to ensure that the samples participants collect and analyze, the data they store and manage, and the reports they write are of high enough quality to meet project needs. The QAPP is typically due to the GM within 90 days but the due date is negotiated prior to agreement execution. The Grant Manager must approve the Monitoring Plan and the Quality Assurance Project Plan before the actual monitoring may begin.

A QAPP checklist that will assist in understanding what the GM and Quality Assurance Office are looking for when they review a QAPP is available at: http://www.waterboards.ca.gov/swamp/qapp.html. This web site also includes a link to a QAPP template.

The USEPA website for QAPP information is: http://www.epa.gov/volunteer/qappexec.html.

Groundwater Ambient Monitoring and Assessment (GAMA)

Projects involving the monitoring of ground water must be in compliance with the GAMA Program. Information about GAMA can be found at http://www.waterboards.ca.gov/gama/index.html.

Plans and Compliance Requirements

Surface Water Ambient Monitoring Program (SWAMP)

If project involves monitoring of surface waters, the QAPP must be drafted in accordance with the provisions of SWAMP. SWAMP guidelines can be found at http://www.waterboards.ca.gov/swamp/qapp.html.

California Environmental Quality Act (CEQA)

All grants funded by the State Water Board are considered projects under CEQA and compliance is mandatory. Some projects may be exempt from CEQA requirements [see CEQA Environmental Information Form in the Forms and Templates section of this guide]. The CEQA regulations require that the Responsible Agency (State Water Board) develop its own independent CEQA findings based on the environmental documents submitted by the Lead Agency for each project. Work on the project cannot begin until the State Water Board has reviewed the CEQA documentation submitted by the grant recipient and given environmental clearance.

There are many web sites to obtain information about CEQA [refer to Grant Related Web Links]. The State Water Board compiled a list of Frequently Asked Questions about CEQA that can be found on the State Water Board web site at http://www.waterboards.ca.gov/funding/grantinfo.html

National Environmental Policy Act (NEPA)

The National Environmental Policy Act (NEPA) is the federal regulations similar to CEQA. If the project is located on federal land and/or was funded using federal funds (Clean Water Act 319(h)), then the grant recipient must comply with both CEQA and NEPA regulations.

National Resources Project Inventory (NRPI) Report

NRPI is a collaborative effort between the California Biodiversity Council and the University of California at Davis Information Center for the Environment. The signatories of the California Biodiversity Council joined forces to gather information on thousands of conservation, mitigation and restoration projects being developed and implemented throughout California. As a result, NRPI has become a comprehensive electronic database searchable on the Internet. All grant recipients must complete the NRPI online project summary form after project completion. The web link to the NRPI web site is www.ice.ucdavis.edu/nrpi.

Plans and Compliance Requirements

Pre/Post Photo Documentation

The scope of work in some projects may require photographs as documentation to record the site before the projects begins, during the project work, and after the project is completed. Guidelines for photo documentation can be found on the State Water Board web site at http://www.waterboards.ca.gov/nps/docs/cwtguidance/4214sop.doc .

Landowner Agreements

When landowner agreements are required, signed copies must be submitted to the Grant Manager before works begins.

Permits

All applicable permits must be obtained from the appropriate permitting agency and signed copies submitted to the Grant Manager before works begins.

Project Supporting Documentation

Depending on the proposed scope of work, following are examples of work items that may be proposed or required, the information that should be included in the scope of work, and the supporting documentation the State Water Board may require you to submit.

Public Meetings

The scope of work for public meetings should include:

- How many and how often
- How will meeting be advertised (i.e., newspaper, magazine article)
- Audience, stakeholders, target groups, etc.
- What materials will be developed
- Meeting minutes

The State Water Board may require any of the following as supporting documentation:

- Meeting announcements (flyers, news releases, e-mails, etc.)
- Stakeholder mailing lists
- Pamphlets or brochures
- Meeting minutes

Technical Advisory Committees (TACs)

The scope of work for TACs should include:

- How will members be solicited
- Membership (who will be recruited and from which agencies)
- Roles and responsibilities of committee members
- Meetings, how many and how often

The State Water Board may require any of the following as supporting documentation:

- Solicitation letters, notices, etc.
- List of committee members
- Description of roles and responsibilities
- Meeting minutes, agendas, sign-in sheets

Project Supporting Documentation

Public Outreach

The scope of work for public outreach should include:

- Purpose
- Development and distribution of announcements
- Who is the audience
- How will outreach be conducted (workshops, citizen monitoring)
- What type of materials will be developed (slide shows, questionnaire, newsletter, brochures, etc.)
- How will effectiveness be measured

The State Water Board may require any of the following as supporting documentation:

- Meeting announcements (flyers, news releases, e-mails, etc.)
- Materials developed (pamphlets, brochures, newsletters, etc.)
- Pre/post evaluation of effectiveness

Workshops/Tours

The scope of work for workshops/tours should include:

- Purpose
- How many and how often
- How will advertising be conducted (i.e., newspaper, magazine article)
- Audience, stakeholders, target groups, etc.
- What materials will be developed
- Obtain land owner agreements (if access to personal property is required)
- Surveys/Questionnaires to measure effectiveness

The State Water Board may require any of the following as supporting documentation:

- Announcements (flyers, news releases, e-mails, etc.)
- Stakeholder mailing lists
- Agendas and handouts
- Copies of signed land owner agreements
- Results of surveys/questionnaires

Project Supporting Documentation

Citizen Monitoring

The scope of work for citizen monitoring should include:

- Recruitment (who, how, and how many)
- Training (how many sessions, training materials)
- Work with Clean Water Team (meet with representative of State Water Board Clean Water Team to discuss the Citizen Monitoring)
- Obtain landowner agreements (if access to personal property is required)

The State Water Board may require any of the following as supporting documentation:

- Recruitment flyers, letters, e-mails, etc.
- Training sign-in sheets
- Copies of signed landowner agreements

Design Plans and Specifications

The scope of work for design plans and specifications should include:

- Plans, specifications and/or maps
- Draft designs must be reviewed by Grant Manager prior to review by other groups
- Submit draft designs and specifications to permitting agencies for approval
- Obtain landowner agreements (if access to personal property is required)
- Prepared notice to proceed with construction for Grant Manager's signature

The State Water Board may require any of the following as supporting documentation:

- Draft design plans and specifications
- Approved design plans and specifications
- Copies of signed landowner agreements
- Notice to proceed

Construction

The scope of work for design plans and specifications should include:

- Clear description of what will be constructed
- Design plan
- Development of "as built" drawings at the end of construction
- Photo documentation of construction before project begins, during the project work, and after the project is completed. Guidelines for photo documentation can be found

on the State Water Board web site at
http://www.waterboards.ca.gov/nps/docs/cwtguidance/4214sop.doc

The State Water Board may require any of the following as supporting documentation:

- "As built" drawings
- Photo documentation

Agreement Amendment Process

Amendment Process

Almost any change to the executed agreement requires an amendment, including changes to milestone due dates on the Table of Items for Submittal. There are two exceptions to this rule:

- Budget line items shift up to 15% from one budget line item to another. A written request to shift funds and approval by the Grant Manager is required.
- Change in Project Director, Grant Contract, or signature authority. A written request must be submitted to the Grant Manager.

1. Project Director (PD) submits a letter to the Grant Manager (GM) requesting an amendment. The letter must justify the amendment and describe the proposed changes.
2. If the amendment involves a deviation from the scope of work or a request for a time extension, prior approval from the State Water Board must be obtained. The GM can provide further information.
3. GM sends a letter to the PD approving the amendment with a copy to the Program Analyst (PA).
4. The PA will provide an electronic version of the executed Agreement, via e-mail, to the PD and GM.
5. The PD will be instructed to make all changes to the executed Agreement using the Microsoft Word tracking feature. The tracking feature is activated on the Microsoft Word menu bar, select “View” “Toolbars” and select “Reviewing.” If an agency does not have Microsoft Word software, the PA will make the changes.

   The amendment will be processed with the track changes. For a second amendment, "accept" all changes in the first amendment, manually “unbold” first amendment changes, and then make revisions to amendment two using the tracking feature.

   a. All underscoring and bold must be removed from the original agreement, if necessary, so there’s no confusion as to what’s being added and what was already there and is not being changed.

   b. Deleted language must have a ~~single strikethrough~~ and will precede added language.

   c. Added language must be **single underscored and bold** (you will have to manually bold the language because the tracking feature won't do it - it's a DGS requirement so we can't eliminate the bold). Grant amendments are not reviewed by DGS; however, to be consistent, use single underscore and bold on grant amendments also.

6. Page 1 of the grant Agreement at end of first paragraph**, underlined and in bold**, insert a brief summary of the changes made in the Agreement.

7. The PD will e-mail to the GM the final draft amendment for review and approval. Once the GM approves the amended language, the GM will e-mail it to the PA.

8. PA will prepare the Amendment Request Form and forward to the GM for signature. GM will send the originals back to the PA.

9. The PA will send the amendment through the normal routing for review/approval.

Updates That Don't Need to Be Made

1. Spelling errors/typos.

2. Capitalization changes (for example, if the word "project" or "agreement" is not currently capitalized, don't bother to change it). Same goes for CalFed vs CALFED.

3. Don't change "term of the agreement" or "life of the project," just leave them as they are in your version of the grant/contract.

Agreement Process vs. Contract Process

Grant applications funded in the past may have been awarded through either a contract process or a grant agreement process. Should your agency have been awarded a grant in the past through the contract process, the following explains the differences between the contract process and the grant agreement process. All applications recommended for funding since 2004 are executed using the grant agreement process.

Grant agreements and contracts are both legal agreements between the State Water Resources Control Board (State Water Board) and a grant recipient to complete a specific project. The primary difference between the two types of legal agreements is the administrative aspect of executing the legal agreement, changes in the responsibilities for the Program Analyst (PA), and terminology. The switch from the contract process to the grant agreement process was made to reduce the time it takes to execute an agreement and to streamline the process.

The contract process required review and approval by the State Water Board, Division of Administrative Services (DAS) and the Department of General Services (DGS). On average, it took nearly two years to execute a contract from the time the grant was awarded. Both the PA and Grant Manager (GM) retain the required paperwork on file (reports, permits, invoice supporting documentation, etc.).

The grant agreement process allowed the State Water Board, Division of Financial Assistance (DFA) to take internal control of the process and remove one level of review and approval. The State Water Board's Office of Chief Counsel (OCC) reviews and approves grant agreements in lieu of DGS. The average time to process a grant agreement from the time the grant is awarded is usually less than nine months. The GM retains all of the required paperwork (reports, permits, invoice supporting documentation, etc.).

The grant recipient must abide by all the terms and conditions of the type of legal agreement (contract vs. grant agreement) that was used at the time the agreement was executed or amended.

Specifically, the differences between a contract and grant are detailed below:

Contract

A contract is an agreement between an agency/organization and the State of California in which the work being performed produces a deliverable and benefits the State of California.

Grant

A grant is an agreement between an agency/organization and the State of California in which the work being performed is done to benefit the agency/organization. While there are no deliverables in a grant, there are specific items for review the grant recipient is required to submit.

Agreement Process vs. Contract Process

Contract Terminology

Contract Manager

A person designated by either the State Water Board or Regional Water Board who is responsible for overseeing the technical performance of the contracted work.

Contractor

An entity contracting with the State Water Board to receive a grant award.

Contractor Certification Clause

A provision of general terms and conditions required by the DGS. Contractor must sign and return prior to grant execution.

Deliverable

A product described in the contract Scope of Work that is tangible and can be placed in the auditable file (i.e., reports, photos, etc.).

Grant Terminology

Grant Manager

A person designated by either the State Water Board or Regional Water Board who is responsible for overseeing the technical performance of the work described in the grant agreement. [Refer to Role of Grant Manager]

Grantee

A recipient of a grant awarded by the State Water Board

Not required for grants.

Item for Review

An item for review described in the grant agreement scope of work that is tangible and can be placed in the auditable file (i.e., reports, photos, etc.).

Contract Execution Process

Draft Scope of Work and Budget

Project Director (PD) drafts and submits scope of work and budget to Contract Manager (CM) and PA for review.

Contract Template

- Exhibits A, A-1, B
- Exhibits C and D added by DAS
- Background and Goals
- Tasks and subtasks
- Schedule of Deliverable Due Dates

Grant Execution Process

Draft Scope of Work and Budget

PA drafts grant agreement, including the scope of work and budget, using the grant proposal and submits to GM for review. GM submits to PD for review.

Grant Agreement Template

- Exhibits A, B, C, and D
- Water Code references
- Work Items
- Table of Items for Review Due Dates

Agreement Process vs. Contract Process

Contract Execution Process

Negotiations

- 2-way conference call (CM and PA) (optional)
- 3-way Conference call (CM, PA, and PD)

Early Start Date Justification needed

Contract Request Memo required

Contract Request Form

Executed by DGS

Routed for DFA management, DAS, and DGS review

Line Item and Task Budget

Required Forms

- Statement of Independence
- Project Director Certification
- 501(c)(3) (IRS non-profit status form)
- Secretary of State standing
- STD 204 (Payee Data Record)
- Contract Resolution (applies to all grantees except State Departments)

After Contract Is Executed

Invoicing

- State Water Board provides PD invoice template.
- PA receives original invoice w/copies of deliverables and Progress Report.
- CM receives 3 copies of invoice with deliverables and Progress Report.

Grant Execution Process

Negotiations

- 2-way conference call (GM and PA) (optional)
- 3-way Conference call (GM, PA, and PD)

Early Start Date Justification needed

Not required for grants.

Grant Request Form

Executed by State Water Board

Routed for DFA management, DAS, and OCC review

Line Item Budget

Required Forms

- Statement of Independence
- Project Director Certification
- 501(c)(3) (IRS non-profit status form)
- Secretary of State standing
- STD 204 (Payee Data Record)
- Grantee Resolution (applies to all grantees except State Departments)

After Grant Is Executed

Invoicing

- State Water Board provides PD invoice template.
- GM receives original invoice with submittals and Progress Report.
- GM submits approved invoice to PA (without supporting documentation)

Agreement Process vs. Contract Process

After Contract Is Executed

Invoicing

- PA processes invoice and creates spreadsheet to track expenditures. Spreadsheet is sent to PD and GM.
- CM or PA submits Dispute Form as needed.

Amendments and Modifications

- Requested by PD
- Approved by CM
- Executed (amendments) by DGS

Auditable File

- Maintained by grant recipient, CM, and PA

Record Retention

- Must be retained for 3, 23, or 36 years as noted in contract

After Grant Is Executed

Invoicing

- Standard Requirements Certification Form (if applicable) submitted to GM by the PD. GM provides copy of completed form to PA along with the invoice.
- PA processes invoice and creates spreadsheet to track expenditures. Spreadsheet is sent to PD and GM.
- GM or PA submits Dispute Form as needed.

Amendments

- Modifications are not allowed
- Requested by PD
- Approved by GM
- Requests for deviation from scope of work or time extension must also be approved by State Water Board
- Consult with PA to determine if revision will need an amendment
- Executed (amendments) by State Water Board

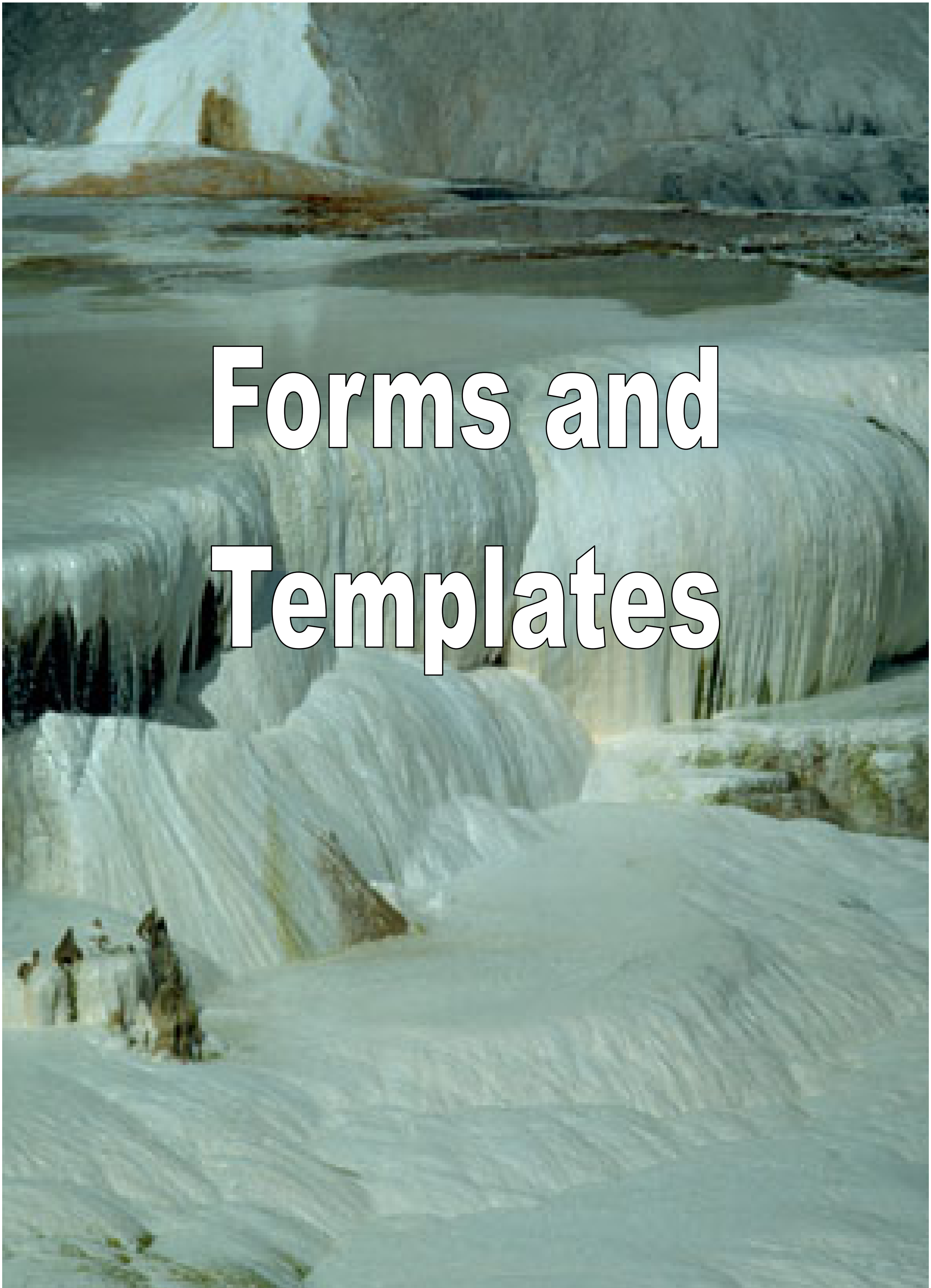
Auditable File

- Maintained by grant recipient, GM, and PA

Record Retention

- Must be retained for 3, 23, or 36 years as noted in grant agreement

Forms and Templates



Overview of Forms and Templates

Over the course of the grant cycle, the State Water Board will provide various forms for the Project Director to complete and/or templates to use. Following is an explanation for each document. A copy of each form or template is provided in the order described below.

How Do I Use Documents Protected As Forms?

Most forms and templates that the State Water Board provides are created in Microsoft Word or Excel and protected as forms. This allows for the user to tab to each text box to enter information. The text box expands as you type. There are a few drawbacks to using the “Forms Protected” format that are explained in the handout titled “Using Documents Protected as Forms.” This handout is available on the State Water Board web site at http://www.waterboards.ca.gov/funding/grantinfo.html.

Project Director Certification Form

The Program Analyst sends an electronic version of the Project Director Certification Form to the Project Director after the grant is awarded and prior to negotiating the scope of work.

The purpose of the form is to designate the Project Director and verify whether that person is a paid employee or a volunteer of the organization the grant was awarded to. The Project Director completes the form and returns it to the Program Analyst as quickly as possible. This form is available on the State Water Board web site at http://www.waterboards.ca.gov/funding/grantinfo.html.

CEQA Environmental Information Form

The Program Analyst sends an electronic version of the CEQA Environmental Information Form to the Project Director after the grant is awarded and prior to negotiating the scope of work. The form collects information regarding CEQA compliance and establishes a timeline to submit CEQA documentation.

Most grants awarded funding through Propositions 13, 40, 50 and the federal Clean Water Act 319(h) do not receive State Water Board environmental clearance prior to funding. The State Water Board, as the responsible agency in the CEQA process, must give environmental clearance prior to the start of work on a project. The CEQA Environmental Information form is a quick survey to alert the Grant Manager to the type of CEQA documentation that may be necessary and the estimated point in the project where environmental clearance must be given before work can proceed. This information helps determined a date for CEQA documentation submission included in Exhibit A of the grant agreement, on the Table of Items for Review.

Overview of Forms and Templates

The form must be completed and returned to the Grant Manager prior to the 3-way conference call. This form, along with a document titled CEQA Frequently Asked Questions, is available on the State Water Board web site at http://www.waterboards.ca.gov/funding/grantinfo.html.

Grant Summary Form

The Program Analyst sends an electronic version of the Grant Summary Form to the Project Director after the grant is awarded and prior to negotiating the scope of work.

The completed Grant Summary Form is posted on the State Water Board, Division of Financial Assistance, web site so the public and view projects awarded bond funds. The web link to the posted Grant Summary Forms is: http://www.waterboards.ca.gov/funding/projsum1350.html.

The Project Director completes the Grant Summary Form and provides a brief overview of the project. The form must be completed within 90 days of grant execution. The Project Director forwards an electronic copy to the Grant Manager and Program Analyst for their file. This form is available on the State Water Board web site at http://www.waterboards.ca.gov/funding/grantinfo.html.

Sample Board Resolution

The Program Analyst sends an electronic version of the sample resolution, when required, to the Project Director after the grant is awarded and prior to negotiating the scope of work.

A resolution from the governing board is required prior to grant agreement execution. State of CA **Departments** are exempt from this requirement (e.g., Department of Fish and Game). The sample board resolution contains the minimum amount of information that must be included in a board resolution.

Depending on how often your board meets, and the difficulty of getting scheduled on the board agenda, we suggest you schedule the project to be heard by the Board for a date you are reasonably certain you will have the final grant agreements for signature. The Program Analyst may be able to give you an estimated date. This could expedite the grant execution process and prevent a delay in the start of your project. This template is available on the State Water Board web site at http://www.waterboards.ca.gov/funding/grantinfo.html.

Overview of Forms and Templates

Payee Data Record (STD 204)

The Program Analyst sends an electronic version of the Payee Data Record, when required, to the Project Director after the grant is awarded and prior to negotiating the scope of work. This form is used to collect the grant recipient's tax identification number to verify with the Secretary of State that the agency is in good standing to do business in California. Governmental entities (federal, state, and local) are not required to submit this form. A Resource Conservation District (RCD) is considered a governmental entity.

Project Director Negotiation Log

The Project Director Negotiation Log is an optional tool provided for your convenience to track the grant negotiation and execution process. This log is available on the State Water Board web site at http://www.waterboards.ca.gov/funding/grantinfo.html.

3-Way Conference Call Checklist

The 3-Way Conference Call checklist is an optional tool provided for your convenience to assist in keeping the conference call on track while discussing any final revisions to the draft grant agreement. This checklist is available on the State Water Board web site at http://www.waterboards.ca.gov/funding/grantinfo.html.

Deviation Request Form

The Grant Manager sends an electronic version of the Request for Deviation to the Project Director if needed. The purpose of this form is to standardize and expedite the State Water Board review process for deviation requests.

A deviation in the scope of work that is not consistent with the activities described in the proposal halts the negotiation process. Before the negotiation process can proceed, the Project Director must complete the Request for Deviation form and submit it to the Grant Manager. The State Water Board must review, and approve or deny, any request for deviation.

After the grant is executed, there may be circumstances that require a deviation from the scope of work. The Project Director should let the Grant Manager know as soon as possible if there are problems or unforeseen obstacles that affect the project. The Grant Manager will determine if a Request for Deviation is necessary. If the request for deviation is approved, an amendment to the grant agreement is necessary.

Overview of Forms and Templates

Request for Time Extension

The Grant Manager sends an electronic version of the Request for Time Extension to the Project Director if needed. The purpose of this form is to standardize and expedite the State Water Board review process for time extension requests.

Time extensions may be necessary due to unforeseen delays or other mitigating factors that cause the project to fall behind schedule and prevent completion by the originally scheduled date. The Project Director should discuss the need for a time extension with the Grant Manager as soon as it becomes apparent there is an issue (e.g. weather delays).

The Grant Manager will determine if a request for time extension is feasible. The request must be submitted no later than six months prior to the end of the agreement period. The State Water Board must review, and approve or deny, any request for time extension.

Final Report Outline

The Project Director must prepare and submit to the Grant Manager a draft project report, at the conclusion of the project, for review and comment. After the Grant Manager has reviewed the draft report, the Project Director will prepare and submit a final project report that addresses, to the extent possible, comments made by the Grant Manager on the draft report.

The final invoice will not be paid until the final project report is submitted and approved by the Grant Manager. The final report outline is just a sample of how the report should be structured. Refer to Exhibit A of the grant agreement about specific information that must be provided in the project report. Some regions may have their own preference for a final report outline. Check with your grant manager prior to writing the final report.

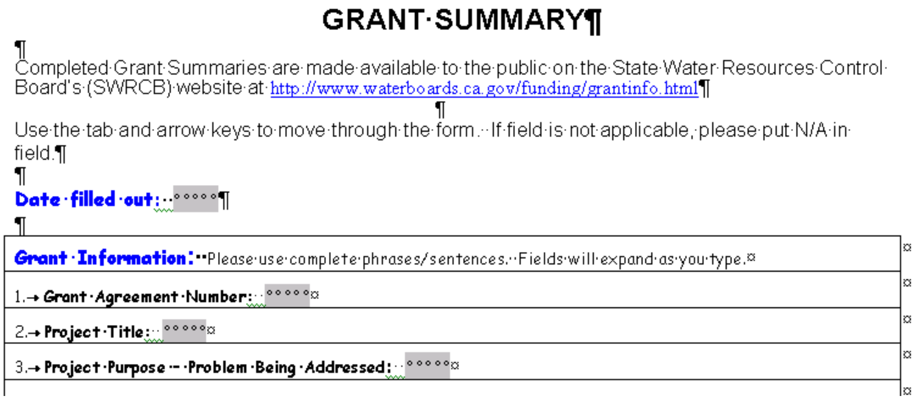
This outline is available on the State Water Board web site at http://www.waterboards.ca.gov/funding/grantinfo.html.

Documents Required for Audit

Grant files must be maintained for a specific time period after the project ends for audit purposes [refer to Glossary of Terms, Records Retention]. The State Water Board provides a checklist from the Department of Finance listing the type of documentation required from the grant recipient if an audit is conducted. This handout is available on the State Water Board web site at http://www.waterboards.ca.gov/funding/grantinfo.html.

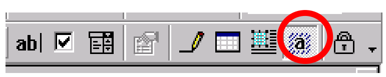
Using Documents Protected as “Forms”

Most of the DFA documents posted on the inter/intranet are protected as “forms” with text boxes to enter the information. Use the tabs keys to navigate the form. The shading disappears when the form is printed.



How do I remove the shading from the text boxes?

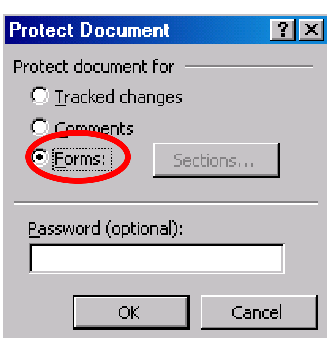
The form was designed with shaded text boxes because it is easier to see where you need to enter information. The information entered into a shaded text box remains shaded. If you want to turn the shading off click “View” on the menu bar, then “Toolbars,” then select the “Forms” toolbar. Click on the “a” icon to turn the shading on and off.



How do I make changes to the protected form?

To edit or change information on the protected form/template (outside of the text boxes) you must “unprotected” the document. To unprotect the document click “Tools” on the menu bar, then “Unprotect Document.” You can no longer type in the text boxes when the document is unprotected.

To “protect” the document as a form again, from the menu bar select “Tools” then “Protect Document” then click on the forms button to turn the protection back on.



WARNING: If you need to edit the document (outside of the text boxes) you can either:

- Unprotect the document, make the changes, then protect the document again so can enter information in the text boxes; or
- Enter information in ALL of the text boxes, then unprotect the document and make changes. If you choose this method, DO NOT PROTECT THE DOCUMENT AGAIN. **If you protect again, after entering information into text boxes, all information you entered will disappear.**

Project Director Certification

Grant Recipient: ______________________________

Project Name: ______________________________

Project Director: ______________________________

Project Identification No. (PIN): __________ Grant Agreement No.: __________

Program: Proposition 13 ☐ 40 ☐ 50 ☐ 319(h) ☐

I certify that I am the assigned Project Director for this Project and I understand the requirements of the Program checked above and the responsibilities of the Project Director.

AND

(Check only the boxes to which you are certifying. Sign and submit this form to the Program Analyst.)

☐ 1) I am a paid employee of the Grant Recipient.

OR

☐ 2) I am a volunteer of the Grant Recipient and certify that: (you must be able to check off EACH box below):

- ☐ 2a) I am a member of the Recipient's Organization; and
- ☐ 2b) I will derive no personal monetary gain or other benefit; and
- ☐ 2c) I am not acting as a subcontractor or performing work on the Project.

______________________________ ______________________________

Signature Date

Environmental Information Form

Grantees are responsible for complying with all applicable laws and regulations for their projects, including the California Environmental Quality Act (CEQA). No work that is subject to CEQA may proceed under this Agreement until documents that satisfy the CEQA process are received by the Grant Manager and approved by the State Water Resources Control Board, the responsible agency.

Grant Recipient: ______________________________

Project Director ______________________________

Phone Number __________________ **Grant Agreement #** _______________

Address ____

1. List the source of any other grants or funds received from the State Water Resources Control Board to implement a portion of this project.

   ____________________________ ________________________________

2. Is this project exempt from CEQA compliance? Yes ☐ No ☐ (if no – skip to #3)

   If "yes," cite the CEQA Article, Section, and Title of the CEQA exemption.

   CEQA statutory exemptions: http://ceres.ca.gov/topic/env_law/ceqa/guidelines/art18.html
   CEQA categorical exemptions: http://ceres.ca.gov/topic/env_law/ceqa/guidelines/art19.html

   Check appropriate box below:

   ☐ Lead Agency has already filed a Notice of Exemption (NOE) with the county clerk. (Attach copy of NOE and, if applicable, a copy of Board Resolution.)
   ☐ Lead Agency will file a NOE with the county clerk. Provide estimated date:

   ☐ Lead Agency will NOT file a NOE with the county clerk. If Lead Agency chooses not to file a NOE, sufficient documentation and information must be submitted to the Grant Manger, along with this form, to allow the State Water Board to make its own CEQA findings.

   The Regional Programs Unit (RPU), State Water Board, concurs that the work proposed in the scope of work for this Agreement is exempt as defined by CEQA regulations.

   RPU Signature ____________________________________ **Date:** __________
   After signature on Item #2, the RPU will return form to the Program Analyst.

3. If the project will require CEQA and/or NEPA compliance, identify the Lead Agency.

   CEQA Lead Agency ____

   NEPA Lead Agency ____

4. Please check which type of document will be prepared.

CEQA	NEPA
☐ Initial Study ☐ Negative Declaration ☐ Mitigated Negative Declaration ☐ Environmental Impact Report	☐ Environmental Assessment ☐ FONSI ☐ EIS
	Categorical Exclusion Please list exemption that covers this project
	Statutory Exemption Please list exemption that covers this project

5. Please describe the status of the CEQA documents, expected date of completion, and estimated cost.

   Status:

   Date of Completion:

   Costs: $

6. If the CEQA document has been completed, please provide the name of the document and State Clearinghouse number. Submit two copies to your Grant Manager.

   ______________________________ ______________

7. Please list all permits you must obtain to complete the project:

Type of Permit Required	Permitting Agency

8. This form was completed by:

Print or Type Name	Phone Number
Signature	Date

Send the completed form to your Grant Manager.

GRANT SUMMARY

Completed Grant Summaries are made available to the public on the State Water Resources Control Board's (SWRCB) website at http://www.waterboards.ca.gov/funding/grantinfo.html

Use the tab and arrow keys to move through the form. If field is not applicable, please put N/A in field.

Date filled out:

Grant Information: Please use complete phrases/sentences. Fields will expand as you type.
1. **Grant Agreement Number:**
2. **Project Title:**
3. **Project Purpose – Problem Being Addressed:**
4. **Project Goals** a. **Short-term Goals:**
b. **Long-term Goals:**
5. **Project Location:** (lat/longs, watershed, etc.)
a. **Physical Size of Project:** (miles, acres, sq. ft., etc.)
b. **Counties Included in the Project:**
c. **Legislative Districts:** (Assembly and Senate)
6. **Which SWRCB program is funding this grant?** Please "X" box that applies. ☐ Prop 13 ☐ Prop 40 ☐ Prop 50 ☐ EPA 319(h) ☐ Other
Grant Contact: Refers to Grant Project Director. **Name:** **Job Title:**
Organization: **Webpage Address:**
Address:
Phone: **Fax:**
E-mail:
Grant Time Frame: Refers to the implementation period of the grant. **From:** **To:**
Project Partner Information: Name all agencies/groups involved with project.
Nutrient and Sediment Load Reduction Projection: (If applicable)

Please provide an electronic copy to your Grant Manager and Program Analyst for the State Water Board web site posting. All fields must be completed. Incomplete forms will be returned.

Sample Resolution

RESOLUTION NO. ____

(date)

BOARD OF DIRECTORS
(organization)

A RESOLUTION AUTHORIZING ENTERING INTO AN AGREEMENT WITH THE STATE OF CALIFORNIA AND DESIGNATING A REPRESENTATIVE TO SIGN PROPOSITION 13, PROPOSITION 40, PROPOSITION 50, 319(h) (choose one applicable program, delete the others) AGREEMENT, AND ANY AMENDMENTS THERETO, FOR THE (project title) PROJECT

Whereas, the Board authorizes (organization) to enter into an Agreement with the State of California; and

Whereas, the Board authorizes ____________ (title, no name), or designee, to sign the (Proposition 13, Proposition 40, Proposition 50, 319[h], etc.); (choose one applicable program, delete the others) Agreement, and any amendments thereto; and

Now, therefore, be it resolved, that the (organization) Board of Directors hereby adopts Resolution (#) on (date).

CERTIFICATION

I hereby certify that the foregoing Resolution (#) was duly and regularly adopted by the Board of Directors of the (organization) at the meeting thereof held on the (____) day of (_________), 200X, motion by (member name) and seconded by (member name), motion passed by the following roll call vote:

Ayes:
Noes:
Abstained:
Absent:

Attest:

____

name
title

STATE OF CALIFORNIA-DEPARTMENT OF FINANCE

PAYEE DATA RECORD

(Required when receiving payment from the State of California in lieu of IRS W-9)
STD. 204 (Rev. 6-2003)

1

INSTRUCTIONS: Complete all information on this form. Sign, date, and return to the State agency (department/office) address shown at the bottom of this page. Prompt return of this **fully completed** form will prevent delays when processing payments. Information provided in this form will be used by State agencies to prepare Information Returns (1099). See reverse side for more information and Privacy Statement.

NOTE: Governmental entities, federal, State, and local (including school districts), are not required to submit this form.

2

PAYEE'S LEGAL BUSINESS NAME (Type or Print)

SOLE PROPRIETOR – ENTER NAME AS SHOWN ON SSN (Last, First, M.I.) | **E-MAIL ADDRESS**

MAILING ADDRESS | **BUSINESS ADDRESS**

CITY, STATE, ZIP CODE | **CITY, STATE, ZIP CODE**

3

PAYEE ENTITY TYPE

CHECK ONE BOX ONLY

ENTER FEDERAL EMPLOYER IDENTIFICATION NUMBER (FEIN): __ __ - __ __ __ __ __ __ __

☐ **PARTNERSHIP**

☐ **ESTATE OR TRUST**

CORPORATION:
- ☐ **MEDICAL** (e.g., dentistry, psychotherapy, chiropractic, etc.)
- ☐ **LEGAL** (e.g., attorney services)
- ☐ **EXEMPT** (nonprofit)
- ☐ **ALL OTHERS**

☐ **INDIVIDUAL OR SOLE PROPRIETOR**
ENTER SOCIAL SECURITY NUMBER: __ __ __ - __ __ - __ __ __ __

(SSN required by authority of California Revenue and Tax Code Section 18646)

NOTE: Payment will not be processed without an accompanying taxpayer I.D. number.

4

PAYEE RESIDENCY STATUS

☐ California resident - Qualified to do business in California or maintains a permanent place of business in California.

☐ California nonresident (see reverse side) - Payments to nonresidents for services may be subject to State income tax withholding.
- ☐ No services performed in California.
- ☐ Copy of Franchise Tax Board waiver of State withholding attached.

5

I hereby certify under penalty of perjury that the information provided on this document is true and correct. Should my residency status change, I will promptly notify the State agency below.

AUTHORIZED PAYEE REPRESENTATIVE'S NAME (Type or Print) | **TITLE**

SIGNATURE | **DATE** | **TELEPHONE** ( )

6

Please return completed form to:

Department/Office: State Water Resources Control Board - Division of Financial Assistance

Unit/Section: Grant and Contracts Administration Section

Mailing Address: 1001 I Street, 16th Floor

City/State/Zip: Sacramento, CA 95814

Telephone: (916) ____________ **Fax:** (916) 341-5296

E-mail Address: ____________

STATE OF CALIFORNIA-DEPARTMENT OF FINANCE

PAYEE DATA RECORD

STD. 204 (Rev. 6-2003) (REVERSE)

1	**Requirement to Complete Payee Data Record, STD. 204** A completed Payee Data Record, STD. 204, is required for payments to all non-governmental entities and will be kept on file at each State agency. Since each State agency with which you do business must have a separate STD. 204 on file, it is possible for a payee to receive this form from various State agencies. Payees who do not wish to complete the STD. 204 may elect to not do business with the State. If the payee does not complete the STD. 204 and the required payee data is not otherwise provided, payment may be reduced for federal backup withholding and nonresident State income tax withholding. Amounts reported on Information Returns (1099) are in accordance with the Internal Revenue Code and the California Revenue and Taxation Code.
2	Enter the payee's legal business name. Sole proprietorships must also include the owner's full name. An individual must list his/her full name. The mailing address should be the address at which the payee chooses to receive correspondence. Do not enter payment address or lock box information here.
3	Check the box that corresponds to the payee business type. Check only one box. Corporations must check the box that identifies the type of corporation. The State of California requires that all parties entering into business transactions that may lead to payment(s) from the State provide their Taxpayer Identification Number (TIN). The TIN is required by the California Revenue and Taxation Code Section 18646 to facilitate tax compliance enforcement activities and the preparation of Form 1099 and other information returns as required by the Internal Revenue Code Section 6109(a). The TIN for individuals and sole proprietorships is the Social Security Number (SSN). Only partnerships, estates, trusts, and corporations will enter their Federal Employer Identification Number (FEIN).
4	**Are you a California resident or nonresident?** A corporation will be defined as a "resident" if it has a permanent place of business in California or is qualified through the Secretary of State to do business in California. A partnership is considered a resident partnership if it has a permanent place of business in California. An estate is a resident if the decedent was a California resident at time of death. A trust is a resident if at least one trustee is a California resident. For individuals and sole proprietors, the term "resident" includes every individual who is in California for other than a temporary or transitory purpose and any individual domiciled in California who is absent for a temporary or transitory purpose. Generally, an individual who comes to California for a purpose that will extend over a long or indefinite period will be considered a resident. However, an individual who comes to perform a particular contract of short duration will be considered a nonresident. Payments to all nonresidents may be subject to withholding. Nonresident payees performing services in California or receiving rent, lease, or royalty payments from property (real or personal) located in California will have 7% of their total payments withheld for State income taxes. However, no withholding is required if total payments to the payee are $1,500 or less for the calendar year. For information on Nonresident Withholding, contact the Franchise Tax Board at the numbers listed below: Withholding Services and Compliance Section: 1-888-792-4900 E-mail address: wscs.gen@ftb.ca.gov For hearing impaired with TDD, call: 1-800-822-6268 Website: www.ftb.ca.gov
5	Provide the name, title, signature, and telephone number of the individual completing this form. Provide the date the form was completed.
6	This section must be completed by the State agency requesting the STD. 204.
	Privacy Statement Section 7(b) of the Privacy Act of 1974 (Public Law 93-579) requires that any federal, State, or local governmental agency, which requests an individual to disclose their social security account number, shall inform that individual whether that disclosure is mandatory or voluntary, by which statutory or other authority such number is solicited, and what uses will be made of it. It is mandatory to furnish the information requested. Federal law requires that payment for which the requested information is not provided is subject to federal backup withholding and State law imposes noncompliance penalties of up to $20,000. You have the right to access records containing your personal information, such as your SSN. To exercise that right, please contact the business services unit or the accounts payable unit of the State agency(ies) with which you transact that business. All questions should be referred to the requesting State agency listed on the bottom front of this form.

Project Director Negotiation Log

GM	**PA**	**PD**
Grant Manager	Program Analyst	Project Director

	Date
Received draft grant agreement from the GM.	________________
Comments made to draft grant using "track changes" and returned to GM.	________________
2-way conference call held between PD and GM to discuss comments or questions. **(Optional)**	________________
Received draft with joint comments from the GM. Schedule dates and times for a 3-way conference call **(Optional)**.	________________
3-way conference call held with the GM and PA. • All questions/comments are answered/addressed. • Start date is agreed upon.	________________
PD submits final draft grant to GM.	________________
Ensure project is on Board agenda to review final agreement and obtain Resolution (when applicable).	________________
Notified that GM reviewed final draft and sent to PA.	________________
Received grant agreements for signature from PA.	________________
Returned signed grant agreements to PA.	________________
Received copy of executed grant agreement from PA.	________________
Received the Progress Report template and Standard Requirements Certification Form (if applicable) from PA.	________________
Received invoice template from PA.	________________
Received invoice log from PA.	________________

3-Way Conference Call Checklist

The 3-way conference call is held between the Project Director (PD), Grant Manager (GM), and the Program Analyst (PA)

- ☐ Keep the call to one hour.
- ☐ No line-by-line discussions, clarification on strikeout/underline questions/comments only.
- ☐ Focus, stay on target, you are there to get agreement on the scope of work.
- ☐ If the GM or the PD wants others involved in the conference call, only one person can speak for the PD. If the GM and PD want to discuss any issue in more depth, do so after the PA is off the phone.
- ☐ Negotiate a start date for the project and discuss dates for the items for review.
- ☐ The GM and PD should agree on a deadline for submittal of the final package to the PA. If the final package is not received within a week of the deadline, the PA will provide a friendly reminder to both.

Deviation Request Form

Project Director completes 1-16

1. DATE PREPARED	2. AGREEMENT #	2a. PIN #	3. CONTRACT/GRANT RECIPIENT

4. FUNDING SOURCE ☐ PROP 13 ☐ PROP 40 ☐ PROP 50 ☐ 319(H) ☐ OTHER (SPECIFY)

5. FUNDING SOURCE PHASE (IF APPLICABLE)	6. TYPE OF PROGRAM (E.G., NPS, AGRICULTURAL WATER QUALITY)

7. PROJECT TITLE

8. AGREEMENT TIME FRAME BEGIN DATE: END DATE: ☐ AGREEMENT NOT EXECUTED YET ☐ AMENDMENT REQUIRED

9. PURPOSE OF PROJECT

10. DESCRIBE THE PROPOSED DEVIATION FROM THE ORIGINAL SCOPE OF WORK

11. WHY ARE THE MODIFICATIONS TO TASKS OR ITEMS NECESSARY?

12. HOW DO THE PROPOSED CHANGES AFFECT THE BUDGET? A JUSTIFICATION IS REQUIRED FOR ANY BUDGET CHANGE.

13. DOES THE SCHEDULE OF WORK NEED REVISION? IF SO, EXPLAIN THE CHANGES AND WHY THEY ARE NECESSARY.

14. HOW WILL THE DEVIATION ACHIEVE THE ORIGINAL INTENT OF THE PROPOSAL?

15. PROJECT DIRECTOR'S NAME	SIGNATURE	DATE

16. THE PROJECT DIRECTOR MUST ATTACH, TO THE DEVIATION REQUEST FORM, EXHIBIT A FROM THE DRAFT AGREEMENT (IF AVAILABLE) OR EXECUTED AGREEMENT SHOWING ALL PROPOSED CHANGES (LANGUAGE ADDED AND DELETED, CHANGES TO WORK SCHEDULE DATES, AND EXHIBIT B IF THERE ARE PROPOSED BUDGET ADJUSTMENTS) USING THE TRACK CHANGES FEATURE IN MICROSOFT WORD (REVIEWING TOOLBAR).

Grant Manager Review

17. GRANT MANAGER'S NAME	SIGNATURE	☐ APPROVED ☐ DENIED	DATE

DFA Technical Review

18. DFA TECHNICAL REVIEWER'S NAME	SIGNATURE	☐ APPROVED ☐ DENIED	DATE

The Deviation Request Form is protected as a "form" in Microsoft Word and the shaded text boxes will expand and wrap as you type.

See back of form for instructions.

Deviation Request Form

Submit the Deviation Request Form as soon as it becomes apparent that a change in the scope of work or work schedule is necessary.

1. Enter date prepared.
2. Enter Contract or Grant Agreement Number and/or 2a. Enter grant application PIN #.
3. Enter Contract or Grant Recipient's name.
4. Check box for applicable funding source. Specify funding source other than those listed.
5. Enter Funding Source Phase, if applicable (e.g., Prop 13 was implemented in three phases)
6. Enter Type of Program (e.g., NPS, Agricultural Water Quality, Urban Stormwater)
7. Enter Title of the Project.
8. Enter the Agreement start date and work completion date. Check box to indicate if the agreement has not been executed yet or if this request is to amend an executed agreement.
9. Provide a brief description of the purpose of the project.
10. Describe the proposed deviation from the original scope of work.
11. Explain why modifications are necessary.
12. Explain how proposed changes will affect the Agreement budget. A justification is required for any change to the budget.
13. Explain proposed changes to schedule of work and why they are necessary.
14. Explain how the deviation will achieve the original intent of the proposal.
15. The Project Director signs and dates the form and mails to the Grant Manager.
16. The Project Director must attach, to the Deviation Request form, Exhibit A and B (as applicable) of the draft or executed Agreement (using the track change feature to show all proposed changes).
17. The Grant Manager reviews the deviation request, signs and dates the form, and either approves or denies the request. If the Grant Manager approves the request, it is forwarded to the Program Analyst at the State Water Board, Division of Financial Assistance (DFA). The Program Analyst will facilitate technical review of the deviation request.
18. DFA technical staff will review the deviation request along with supporting documentation and approve or deny the request. The Project Director will receive written notification of the decision, with copies to the Grant Manager and Program Analyst.

Request for Time Extension

Project Director completes 1-10

1. Date Submitted	2. Agreement Number	3. Recipient's Name		
4. Project Title				
5. Purpose of Project				
6. Time Extension Period Requested	Date Work Started:		Scheduled Work Completed By Date:	
7. Amount of grant funds that will be expended by current scheduled work completion date		$	Proposed Work Completed By Date:	

8. Is project consistent with the original scope of work and purpose of the appropriation?
☐ Yes ☐ No – Please explain

9. Explain circumstances that resulted in inability to complete project on schedule and/or any impediments to completion:

10. Explain measures that will be taken to ensure project completion:

11. As project director, I hereby certify that the project is consistent with the original scope and purpose and will be completed within the required period of liquidation

Project Director's Name	Signature	Date

Regional Board completes 11-12

12. Grant Manager's Name	Signature	☐ Approved ☐ Denied	Date
13. Regional Executive Officer's Name	I hereby certify that adequate staff is available to manage this grant extension		Date

Division of Financial Assistance, Grant and Contracts Administration Review

Reviewed by Program Analyst	☐ Concurs ☐ Disagrees	Reviewed by GCA Manager	☐ Concurs ☐ Disagrees

Appropriation End Date	Request Extends Beyond End Date:	Funding Info/PCA number	$ Amount To Be Encumbered for Time Extension
	☐ Yes ☐ No		

Comments:

State Water Resources Control Board Review

Reviewed by DFA Chief, administration section Alice Stebbins	☐ Approved ☐ Denied	Reviewed by DFA assistant division chief Allan Patton	☐ Approved ☐ Denied

DFA Loans & Grants Division Chief Barbara Evoy	Signature	☐ Approved ☐ Denied	Date

The Request For Time Extension is protected as a "form" and the shaded text boxes will continue to expand and wrap as you type.

See back of form for instructions.

Request for Time Extension

Instructions for Completing the Form

Project Director completes the form and submits to Grant Manager. The Project Director must justify why a time extension is needed and explain the specific measures that will be taken to ensure project completion by the proposed extension date. The request must be submitted no later than six months prior to the end of the agreement period.

1. Enter date form was completed.

2. Enter Contract or Grant Agreement Number.

3. Enter Contract or Grant Agreement Recipient.

4. Enter Title of the Project.

5. Provide a brief description of the purpose of the project.

6. Enter the work start date and scheduled work completion date from the current Agreement.

7. Enter the amount of current grant funds that will be expended (invoiced) by the work completion date from the current Agreement, and the proposed work completion date should the time extension be approved.

8. Check box. If "No" is checked, explain how the project differs from the original scope of work and/or purpose of the appropriation?

9. Explain mitigating circumstances that caused the delay in project completion, and/or impediments to project completion that justify a time extension.

10. Explain measures that will be taken to ensure project completion.

11. Project Director signs and dates the form. Mail completed form to Grant Manager.

12. Grant Manager will review the request and either approve or deny. If request is approved, the Grant Manager will sign and date the form and forward to the Regional Executive Officer.

13. The Regional Executive Officer will review the request. If approved, the Regional Executive Officer will sign and date the form and return it to the Grant Manager.

The Grant Manager mails a copy of the signed form to the State Water Board, DFA Program Analyst. The Program Analyst facilitates the DFA management review and approval process.

Sample Final Report Outline for Grant Projects

I Title Page

Include title, date, Watershed, project type, funding sources, and cost of project

II Grant Summary Form – Completed & Updated if necessary

III Table of Contents

IV Executive Summary

V Problem Statement & Relevant Issues

VI Project Goals

VII Project Description

Project Type
Project Costs – total costs; matching funds & fund sources;
Project Methodology/Construction/Description/Pollutant Load
Existing data (graphs & tables) and/or Before Photos
New data (graphs & tables) and/or After Photos
Data Evaluation/Pollutant Reduction

IX Public Outreach

X Conclusions

Project Evaluation & Effectiveness – Results of PAEP

Include individual goals (including CALFED goals): corresponding performance measures; explain if goals were met, if not why; what changes would be made w/ 20/20 hindsight & overall effectiveness of the project.

Project Terminated – Why?

Include - NEXT STEPS- costs, funding sources & schedule

XI Appendices

List of References
List of Deliverables (contracts) or Items for Submittal (grants)
List of Sub-contractors
Tables & Graphs of Summarized Numerical Data
Photos
Copies of Peer Reviewed Articles

Documents Required for Audit

Source: Department of Finance (DOF)

Please have the following documents, files, records, and other resources available for DOF during their audit of the grant(s).

Internal Controls:

1. Grantee's organization charts.

2. Written procedures and/or flowcharts for the following processes.

    a. Grantee's receipts and deposits.

    b. Grantee's disbursements.

    c. Grantee's invoice preparation (claim for grant reimbursement).

Audit Reports:

1. Any audit reports and management letters covering the Grantee's financial statements, operations, and internal controls within the last two years.

Contracts/Grant Agreements:

1. Original grant contract(s) and any amendments between the Grantee and the State.

2. All subcontractor and consultant contracts and related documents.

Budgets:

1. Budget modification documents.

Invoices:

1. Invoices/claims from the Grantee to the State for payments under the grant(s).

2. Invoices from subconstractors/consultants to the Grantee for costs charged to the grant(s)

Receipts & Disbursement Documents:

1. Receipts showing grant payments received from the State.

2. Deposit slips showing deposit of payments received from the State.

3. Bank statements showing deposit of grant receipts and any interest earned thereon.

4. Cancelled checks or other disbursement documents supporting payments to vendors, contractors, consultants, and agents under the grant(s).

5. Ledgers or registers showing grant receipt and cash disbursement (expenditure) entries.

Personnel:

1. Payment records for Grantee and contractor personnel who provided services under the grant(s) (e.g. timesheets, fringe benefit calculations).

Travel & Per Diem:

1. Grantee's travel policies.

2. Travel claims for travel costs charged to the grant(s), organized by invoice/claim to the State.

Administrative Overhead:

1. All supporting documentation for any administrative overhead for indirect costs charged to the grant(s) (e.g. cost allocation plans, allocation worksheets).

Land Acquisitions:

1. Appraisals.

2. Documents showing Department of General Services' approval.

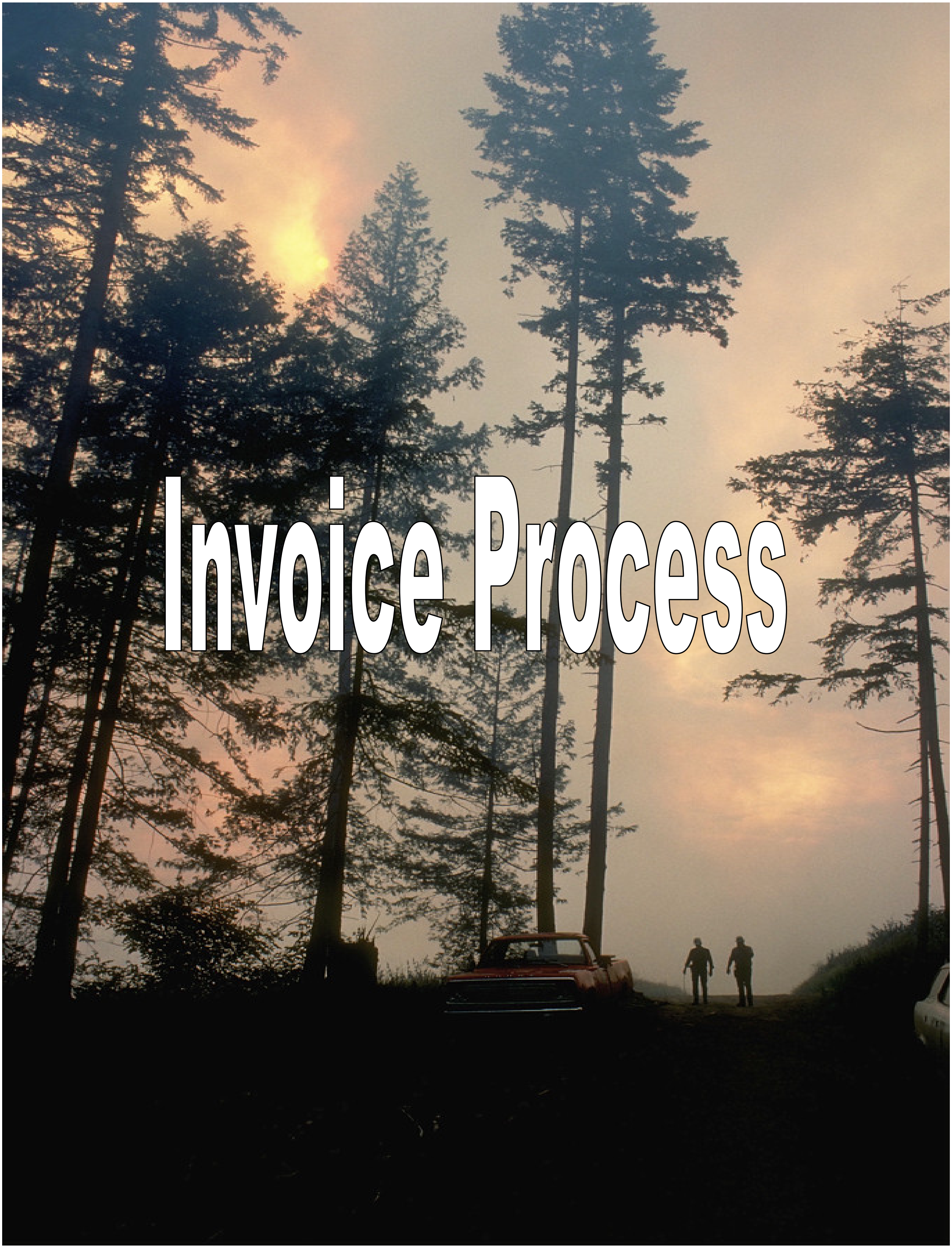
3. Escrow closing statement.

4. Recorded grant deed and all other title transfer documents.

Project Files:

1. All supporting documentation maintained in Grant project files.

Invoice Process



Overview of Invoice Process

Grants are awarded for projects that are reimbursable after the work is performed. The Project Director (PD) must invoice the State Water Board to receive reimbursement for work already performed related to the grant agreement scope of work. The invoice, along with supporting documentation, is sent to the Grant Manager (GM) for review and approval. The GM forwards the approved invoice to the Program Analyst (PA) who facilitates the payment and tracks funds expended per line item.

Ten Percent Withholding

The State Water Board withholds 10% of the total award amount. Approved invoices will be paid in full until the 90% has been reached. When the project is completed, the PD submits a final report to the GM for review and approval along with a National Resource Project Inventory (NRPI) project survey form. The PD also submits a final invoice that may include reimbursement for up to 100% of the award amount. Once the GM approves the final invoice, the GM will forward the invoice to the PA for processing. At this point, any portion of the 10% previously withheld will be paid in addition to payment of the final invoice.

Matching Funds

The grant agreement may require matching funds, the funding portion of the project that the grant recipient is committed to contribute towards the success of the project. Matching funds may be direct or indirect costs related specifically to the project.

The PD must submit an invoice each reporting period (monthly or quarterly) to report matching funds contributed, regardless of whether or not grant funds are invoiced. Back-up documentation is required to justify the amount invoiced for matching funds during the reporting period. The PA tracks matching funds for each invoice to ensure the grant recipient meets its commitment for their share of project costs.

Following the overview is a sample invoice template and other documents related to the invoice process. A copy of each form or template is provided in the order described.

Invoice Template

The PA sends an electronic version of the Invoice Template to the PD after the grant agreement is executed. The invoice will be partially completed with names and addresses filled in and the dollar amount allocated for each line item included.

You must use the invoice template provided to you to request reimbursement. The invoice template is designed in Excel and will automatically calculate. Any other version of the invoice template will be rejected. Number the invoices sequentially and include the time period the invoice covers.

Overview of Invoice Process

Invoices are submitted to the GM either monthly or quarterly depending on the time line in your grant agreement. The invoice should reflect charges only for the specific reporting period noted, and should support the work described in the Progress Report for the same specific reporting period. Invoices reporting matching funds only are acceptable. Any dollar amount requested for reimbursement, or claimed as matching funds, must be supported with documentation to substantiate the charges.

Progress Report

The Program Analyst sends an electronic version of the Progress Report template to the Project Director after the grant is executed. The Progress Reports is used to report the progression of the project and provides supporting documentation for expenditures invoiced.

The Progress Report is submitted to the Grant Manager either monthly or quarterly, as agreed upon during negotiation. The report provides a brief description of the work performed, accomplishments during the reporting period, milestones achieved, and any problems encountered in the performance of the work. The narrative portion of the Progress Report must contain sufficient information to verify the level of work completed during the specified reporting period only and must support invoiced charges for the same reporting period.

The invoice reporting period typically coincides with the Progress Report reporting period. **A Progress Report must accompany each invoice.** The Progress Report must be submitted even when there is no accompanying invoice (no expenditures to invoice and/or no matching funds spent).

There are two versions of this template posted on the web page. One version is for the former contract process and the other for the grant process. This template is available on the State Water Board web site at http://www.waterboards.ca.gov/funding/grantinfo.html.

Invoice Supporting Documentation

The supporting documentation for invoices provides the basis for maintaining auditable files by properly accounting for bond fund usage. The Project Director must fully document work completed and provide supporting documentation for invoices. The Grant Manager has the authority to request more detailed information to support items invoiced (e.g., lease agreements, list of meeting to substantial Project Director's hours). Payment may be denied with adequate supporting documentation.

The Invoice Supporting Documentation handout provides a list of the type of items that should be submitted as back-up documentation to substantiate the dollar amount invoiced. Documentation is required for invoiced amounts as well as for matching fund dollars claimed on a particular invoice.

The State Water Board provides a sample personnel certification form that can be used to report personnel hours. The sample form is on the reverse side of the Invoice Supporting Documentation handout. If you would like to use this form, contact the GM assigned to your project for an electronic copy of the personnel certification form.

Each regional board may have their own unique requirements or forms for the supporting documentation. Talk with your GM about their expectations. This handout is available on the State Water Board web site at http://www.waterboards.ca.gov/funding/grantinfo.html.

Helpful Hints for Submitting Invoices

The Helpful Hints for Processing Invoices handout describes some common problems that that may cause an invoice to be disputed. This handout also describes common problems that arise with Project Reports (typically submitted with an invoice or used to support invoiced charges). This handout is available on the State Water Board web site at http://www.waterboards.ca.gov/funding/grantinfo.html.

Invoice Dispute Notification

The GM or PA will send you, via e-mail, an Invoice Dispute Notification Form if there is a reason the invoice cannot be approved as submitted. The State Water Board is required to approve invoices for payment in a prompt manner (typically within 45 days). Receipt of an Invoice Dispute Notification stops the “clock” for invoice approval. The “clock” for payment begins again when a corrected invoice is submitted to the GM.

Invoice Expenditure Projections

The State Water Board uses these projections for planning purposes only to ensure that enough funds are available on a monthly basis to cover projected invoiced costs. You must submit this form, or a similar form containing this information, to the GM with each invoice as required in Exhibit B of the grant agreement. The form can be found on the State Water Board web site at http://www.waterboards.ca.gov/funding/grantinfo.html.

Travel Reimbursement Information

Grant recipients requesting reimbursement for travel expenses may only invoice the amount permissible under the State of CA regulations. The Travel Reimbursement Information handout describes the state travel policies and the per diem amounts allowable for meals and lodging. This handout is available on the State Water Board web site at http://www.waterboards.ca.gov/funding/grantinfo.html.

Standard Requirements Certification Form

The Standard Requirements Certification Form was required, per the grant agreement, to accompany each invoice submitted to the GM for grants executed prior to October 2005. The form is no longer required for grant recipients using an invoice template dated after 9/26/05. If you have a previous grant and need a copy of this form, contact your GM or download the form at http://www.waterboards.ca.gov/funding/grantinfo.html.

GRANT PROGRAM INVOICE

(Reference Instructions on following page - Failure to follow instructions may result in non-payment of invoice)

THIS OFFICIAL INVOICE FORMAT MAY NOT BE MODIFIED

From:
Grantee Name
Address
City, CA Zip Code
Telephone Number

To:
Grant Manager (Orignal Invoice)
Regional Water Quality Control Board
Address
City, CA Zip Code

SWRCB Grant Agreeement No: ______
SWRCB PCA Number ______
1 Grantee Invoice No.: ______
2 Billing Period: ______
3 Date:

4 Line Items	5 Grant Allotment (per line item or N/A)	6 Previous Expenditures (From last invoice)	7 Current Expenditures Grant Funds Only	8 Expenditures to Date 6 + 7 = 8	9 % of Line Item Budget Spent to Date 8 ÷ 5 = %	10 If Applicable: Match For This Reporting Period Only (see Exhibit B of Grant)
	GRANT FUNDS ONLY					
Personnel Services				$0.00	#DIV/0!	
Operating Expenses				$0.00	#DIV/0!	
Equipment				$0.00	#DIV/0!	
Professional/Consultant Services				$0.00	#DIV/0!	
Construction				$0.00	#DIV/0!	
				$0.00	#DIV/0!	
TOTALS	$0.00	$0.00	$0.00	$0.00	#DIV/0!	$0.00

FOR STATE USE ONLY
Date Received From GM ______
Date to Accounting ______

12 ☐ **FINAL INVOICE**

11 **Total Amount Due This Invoice**

10% Withheld (Retention)
10% of total grant award will be held until final report is submitted, approved, and project is 100% complete.

13
☑ Watershed Membership (if necessary) - I hereby certify that I am a member of (or have an affiliation with) a local watershed group, as defined in Water Code §79078.
☑ Water Rights Fees - I hereby certify that I have paid any and all fees due to the State Water Recources Control Board including Water Rights fees.

14 Grantee Project Director or Designated Representative Date

By signing this invoice I certify, under penalty of law, that this document and any attachment was prepared by me or under my direction in accordance with the terms and conditions of each Grant Agreement Exhibit and, to the best of my knowledge and belief, is accurate and complete. I am aware that there are significant penalties for submitting false or misleading information.

15 Grant Manager Date

I certify this invoice, to the best of my knowledge and belief, is accurate and complete and I approve this invoice for payment.

Revised 1/24/06

Instructions for Grant Program Invoice

Information pertaining to this Grant program Invoice template is located in Exhibit B of the executed Grant Agreement.

① **Grant Invoice Number:** Assign a sequential invoice number, for example: 1, 2, 3.

② **Billing Period:** Enter Billing Period of work performed. Example for quarterly billing: Jan 1, 2005 to Mar 31, 2005. Example for monthly billing: Jan 1, 2005 to Jan 31, 2005.

③ **Date:** Enter the Date invoice is prepared.

④ **Line Items:** From Grant Agreement, Exhibit B Budget.

⑤ **Grant Allotment:** Grant allotment per line item from the grant budget.

⑥ **Previous Expenditures:** From the last invoice, enter line item amounts from Expenditures to Date, Column #9 (Grant Funds Only). If first invoice, enter zero (0).

⑦ **Current Expenditures:** Enter the current grant fund charges for this billing period.

⑧ **Expenditures to Date**: This is calculated by adding the Previous Expenditures and Current Expenditures.

⑨ **% of Line Item Budget Spent to Date:** The percentage is calculated by dividing the Expenditures to Date by the Grant Allotment.

⑩ **If Applicable: Match Amount For This Invoice:** COMPLETE ONLY IF MATCH IS INCLUDED IN THE GRANT AGREEMENT BUDGET. Enter the match dollars applied to this invoice billing period.

⑪ **Total Amount Due This Invoice**: The amount due will either be the Total Current Expenditures or the Total Current Expenditures minus Recoupment (when applicable).

⑫ **Final Invoice:** Check this box for final invoice only.

⑬ **Watershed Membership and/or Water Rights Fees**: Check applicable box each time invoice is submitted.

⑭ **Grantee Program Director or Designated Representative**: Original signature and date (in ink).

⑮ **Grant Manager:** Original signature and date (in ink).

Grant Progress Report Template

Progress Report # ______________________

Reporting Period: __________ to __________

Submittal Date ______________________

Grant Agreement No: ______________________

Project Name: ______________________

Contractor Name: ______________________

I certify under penalty of law that this document and any attachment was prepared by me or under my direction in accordance with the terms and conditions of each Grant Agreement Exhibit. Based on my inquiry of the persons or persons who manage the project, or those directly responsible for gathering the information, the information submitted is, to the best of my knowledge and belief, true, accurate, and complete. All information submitted in this document and all attachments conform to and is in accordance with the state and federal laws and I so here certify with my signature. I am aware that there are significant penalties for submitting false or misleading information.

Project Director: ______________________ ______________________

Printed Name Signature

Summary of Work Completed To Date *(See sample table below)*

Work Items for Review: *The table should number and list all items for review included in the grant agreement. The information provided should be cumulative from the start of the project. The table should provide an at-a-glance status of the project work items.*

Due Date: *The due dates in this column should be identical to the grant agreement due dates. If a date change is made through formal modification or amendment, then the revised date can be inserted once the change has been approved.*

% Of Work Complete: *Cumulative percentage of work complete to date*

Date Submitted: *For items for review that are submitted more than once (i.e., progress reports), please leave previous submittal dates on the table so that there is a list of dates within the box. If a draft item for review is submitted, write "draft" after the date.*

Work Item	Items for Review #	Due Date	% Of Work Complete	Date Submitted
EXHIBIT A	1.1 PAEP	(mm/dd/yy)	(__%)	(mm/dd/yy)
	1.2 Monitoring Plan			
	1.3 Quality Assurance Plan			
EXHIBIT C	6. CEQA/NEPA Documents			
EXHIBIT D	Adjoining Land Owner Notification			

List of Items for Review

(Include only the items for review, by sub-item number, listed on the Table of Items for Review in Exhibit A)

- ____
- ____

Grant Progress Report Template

Progress Report Narrative

Introduction
(Provide a brief one or two sentence introduction or summary of the report (e.g., "During the reporting period, project activities focused on completing design of the pipeline segments 1, 3, and 4" or " … focused on monitoring activities and repairing process or system failures or deficiencies" or … "focused on improving system efficiency," etc.)

Summary of Activities
(List each work item from Exhibit A (Work To Be Performed) in every progress report. However, limit narrative descriptions to work performed during the reporting period. Provide, by sub-item number, a brief description of milestones, successes, and problems or issues encountered during the reporting period.

Item 1 - Project Administration (Cumulative ___% complete)
(Describe for each work item, the activities, problems, successes, milestones OR "No work performed this period" OR "Complete")

Item 2 - __________________ (Cumulative ___% complete**)**
(Describe for each work item, the activities, problems, successes, milestones OR "No work performed this period" OR "Complete")

(Continue with all work items in Exhibit A, Work To Be Performed)

Additional Instructions

- Clearly label each item for review with work-item number.
- If a document is not a grant item for review, do not include under the list of items for review or in the narrative. Label as "Extra Item for Review" and provide one copy.
- Number all pages including pictures, laboratory data, diagrams, etc.

Invoice Supporting Documentation

For Propositions 13, 40, 50, and 319(h) Grant Projects

Some regional boards send a letter to the Project Director explaining the type of information they expect to receive to support invoice charges. This information is being provided as an example. However, each regional board may have their own unique requirements.

The supporting documentation provides the basis for maintaining auditable files by properly accounting for bond fund usage. The following items are required to adequately document all invoices:

- Items from the "Table of Items for Review." The table is located in Exhibit A of your Grant Agreement. Items may include: monitoring plans, quality assurance project plans, and progress reports.

- Grantee personnel hours with the labor rates incurred under each category. To document this, a grantee can either submit timesheets for each employee or use the sample certification form (see next page), to document the total grantee personnel hours with labor rates for each employee. You can contact the Grant Manager assigned to your project for an electronic copy of the certification form.

- Travel costs associated with the project. Travel costs may include: rental car receipts, gas receipts, meal reimbursement, and lodging. A summary of allowable per diem reimbursable rates can be found at http://www.waterboards.ca.gov/funding/grantinfo.html.

- Purchases for the project over $100. Grantees must submit receipts for any single items purchased for the project that exceeds $100.

- Invoices from professional or consultant services, including laboratory services.

- Invoices for construction. Grantees must submit invoices or receipts for any grant funding that was applied for construction.

- Direct cost items. The grantee must provide a "Good Faith" estimate of any direct cost charges. This may include portions of the rent or utilities. For audit purposes, a one-time only document must be provided showing the formula or back-up documentation used to justify the dollar amount charged for direct cost and how that dollar amount exclusively supports funded grant activities.

Invoices requesting reimbursement for any of the above items that do not also include appropriate documentation will not be approved for payment.

GRANTEE LABOR CERTIFICATION

DATE:

AGREEMENT #:

INVOICE #:

BILLING PERIOD:

Employee Name	Classification	Total Project Hours	Hourly Billing Rate	Total Amount Billed
			$	$
			$	$
			$	$
			$	$
			$	$
			$	$
			$	$
			$	$
			$	$

Total Amount Invoiced: $

By signing below, I certify that the above employee(s) worked the stated hours on this project during this invoicing period.

Administrative Officer Date

Helpful Hints for Submitting Invoices

Invoice Problems

Listed below are some of the problems that have delayed invoice processing in the past. Careful review of invoices will help to eliminate some of the delays.

- Over spent line item. In most cases, an amendment is needed to move funds between line items.
- Incorrect calculations. Check to ensure that the correct "Expenditures to Date" amount is carried over to "Previous Expenditure" on the next invoice.
- The billing period not consistent with the schedule (quarterly/monthly) and/or the billing period does not match the reporting period. The reporting period schedule is described in Exhibit B of the Grant Agreement.
- Use of wrong invoice template. The Program Analyst provided an invoice template to the Project Director when the grant was awarded.
  - There is only one invoice template for grants.
  - There are two invoice templates for contracts. One template is used when an advance payment was allowed. The other template is used when there was no advance payment. Contracts without advance payment should not use the advance payment invoice template.
- Standard Requirements Certification Form, when required, is not submitted with invoice. The Standard Requirements Certification form is NOT required when using the grant invoice template dated 9/26/05 or later.
- Insufficient supporting documentation. Sufficient documentation (receipts, invoices, etc.) must accompany the invoice to justify all charges and matching funds. Supporting invoice documentation must be labeled with the corresponding work item number (from Exhibit A – Scope of Work).

Progress Reports

- Each work item (from Exhibit A – Scope of Work) must be listed and numbered on the Progress Report.
- The Progress Report is typically submitted with the invoice. The invoice must cover the same reporting period as the Progress Report and reflect charges only for work performed during the current reporting period.
- Reporting period must be consistent with schedule (quarterly/monthly). The reporting period is described in Exhibit B.

Helpful Hints for Submitting Invoices

- The Progress Report must include a description, for each work item invoiced, of the work completed and/or being invoiced during the current reporting period only.

  Copying the description for a specific work item from one Progress Report to the next is not acceptable. If progress has been made on a work item during the reporting period, the description must be updated specific to what was accomplished during the current reporting period only.

- If no work was accomplished on a particular work item during the current reporting period, the description for the work item should read "no activity this reporting period" and the work item cannot be invoiced.

- Only completed work items should be submitted.

- Supplemental information submitted to the Grant Manager, beyond what is required in the Agreement, should not be included on the progress report.

The Regional Board determines the level of detail required in the Progress Report. Check with your Grant Manager about specific requirements for your grant Agreement.

Processing Time

There is a 45-day turn around for processing invoices. The "clock" begins when the Grant Manager receives the invoice. If an Invoice Dispute Form is issued, the "clock" stops. The following are the number of days allotted to each party for processing the invoice:

- 45 day turn around
  - 7 days for Contract/Grant Manager to review and sign
  - 7 days for Program Analyst to review and process
  - 14 days for DAS Accounting
  - 14 days for the State Controller's Office

Invoice Disputes

The Grant Manager must complete an Invoice Dispute Form when any of the following occurs:

- Over spent line item.

- Request of dollars from 10% retention – Dollars from the 10% retention cannot be paid until the final report has been reviewed and approved by the Grant Manager.

- Insufficient documentation to support invoice charges. Supporting documentation not labeled with work item number.

- Non-compliance with Agreement. This includes invoicing for items such as water quality monitoring before an approved QAPP has been submitted and invoicing for construction begun prior to the submission of permit(s), NEPA documentation and/or receipt of environmental clearance from the State Water Resources Control Board for CEQA required documentation.

Tracking Sheets

The Program Analyst creates a tracking sheet (EXCEL spreadsheet) for each grant. The tracking sheet is used to track grant line item dollars and match dollars. The spreadsheet tracks dollar amounts invoiced and remaining balances to ensure that the line items are not overspent.

The Program Analyst updates the tracking sheet each time an invoice is paid and e-mails a copy of the most recent tracking sheet to the Grant Manager and Project Director.

Communication with Program Analyst

To alleviate the problem of "phone tag", all communication with the Program Analyst should be conducted via e-mail. E-mail communication creates an auditable paper trail that details issues discussed and the resolution achieved.

The Program Analyst should be kept in the loop on all communication so that administrative insight can be provided. Copy the Program Analyst on e-mail communications between the Project Director and Grant Manager.

Project Completion

The final invoice cannot be paid until the Grant Manger notifies the Program Analyst, via e-mail or letter, that the final report is approved and the NRPI report has been received.

Once the Program Analyst process the final invoice submitted by the Grant Manager, the 10% that was retained will be released in addition to the final invoice amount. At this time, any unspent funds will be disencumbered.

Grant Agreement
Invoice Dispute Notification
(without prejudice)

Grantee: ______________________________ Agreement #: ________________

Invoice # __________ Amount $__________ Date Received ________________

The invoice referenced above is disputed for the following reasons:

- ☐ Incorrect Format ______________________________
- ☐ Noncompliance with Grant Agreement ______________________________
- ☐ Missing Item Submittals ______________________________
- ☐ Incomplete Item Submittals ______________________________
- ☐ Incorrect Line Item Billed/ Incorrect Calculations ______________________________
- ☐ Other ______________________________

Comments:

If you have any questions, please contact at (916) or by e-mail at @waterboards.ca.gov.

cc:

Invoice Expenditure Projections

When you submit your quarterly invoice, please provide a six month expenditure projection. For example, if the submitted invoice covers the quarter Jan-March, please provide a projection for April-Sept. The State Water Board uses these projections for planning purposes only to ensure that enough funds are available on a monthly basis to cover projected invoiced costs.

Contract or Grant Agreement Number ________________

Project Title: ____

	Year	Projection
January		
February		
March		
April		
May		
June		
July		
August		
September		
October		
November		
December		

Projected Expenditures $0.00

Travel Reimbursement Information
(State Water Resources Control Board)

1. The following rate policy is to be applied for reimbursing the travel expenses of persons under contract. *The terms "contract"' and/or "subcontract" have the same meaning as "grantee" and/or "subgrantee" where applicable.*

   a. Reimbursement *for travel and/or per diem* shall be at the rates established for nonrepresented/excluded state employees*. Exceptions to DPA lodging rates may be approved by SWRCB upon the receipt of a statement on/with an invoice indicating that such rates are not available.*

   b. Short Term Travel is defined as a 24-hour period, and less than 31 consecutive days, and is at least 50 miles from the main office, headquarters or primary residence. Starting time is whenever a contract *or subcontract* employee leaves his or her home or headquarters. "Headquarters" is defined as the place where the contracted personnel spends the largest portion of their working time and returns to upon the completion of assignments. *Headquarters may be individually established for each traveler and approved verbally by the program funding the agreement. Verbal approval shall be followed up in writing or email.*

   c. Contractors on travel status for more than one 24-hour period and less than 31 consecutive days may claim a fractional part of a period of more than 24 hours. Consult the chart appearing on page 2 of this exhibit to determine the reimbursement allowance. All lodging must be receipted. If contractor does not present receipts, lodging will not be reimbursed.

      (1) Lodging (with receipts):

Travel Location / Area	**Reimbursement Rate**
Statewide (excluding the counties identified below)	$ 84.00 plus tax
Counties of Los Angeles and San Diego	$110.00 plus tax
Counties of Alameda, San Francisco, San Mateo, and Santa Clara.	$140.00 plus tax

      Reimbursement for actual lodging expenses exceeding the above amounts may be allowed with the advance approval of the Deputy Director of the State Water Resources Control Board or his or her designee. Receipts are required. *Receipts from Internet lodging reservation services such as Priceline.com, which require prepayment to that service, ARE NOT ACCEPTABLE LODGING RECEIPTS and are not reimbursable without a valid lodging receipt from a lodging establishment.*

      In circumstances where the contractor cannot obtain the per diem lodging rate, verification for the hotel that such rate was not available to the contractor may be submitted to substantiate lodging costs above the per diem rate.

      (2) Meal/Supplemental Expenses (with or without receipts): With receipts, the contractor will be reimbursed actual amounts spent up to the maximum for each full 24-hour period of travel.

Meal / Expense	**Reimbursement Rate**
Breakfast	$ 6.00
Lunch	$ 10.00
Dinner	$ 18.00
Incidental expenses	$ 6.00

   d. Out-of-state travel may only be reimbursed if such travel *is necessitated by the scope or statement of work* and has been approved in advance by the program with which the contract is held. For out-of-state travel, contractors may be reimbursed actual lodging expenses, supported by a receipt, and may be reimbursed for meals and supplemental expenses for each 24-hour period computed at the rates listed in c. (2) above. For all out-of-state travel, contractors/subcontractors must have prior SWRCB *written or verbal* approval. *Verbal approval shall be confirmed in writing (email or memo).*

   e. In computing allowances for continuous periods of travel of less than 24 hours, consult the chart appearing on page 2 of this *exhibit*.

f. No meal or lodging expenses will be reimbursed for any period of travel that occurs within normal working hours, unless expenses are incurred at least 50 miles from headquarters.

2. If any of the reimbursement rates stated herein are changed by the Department of Personnel Administration, no formal contract amendment will be required to incorporate the new rates. However, SWRCB shall inform the contractor, in writing, of the revised travel reimbursement rates.

3. For transportation expenses, the contractor must retain receipts for parking; taxi, airline, bus, or rail tickets; car rental; or any other travel receipts pertaining to each trip for attachment to an invoice as substantiation for reimbursement. Reimbursement may be requested for commercial carrier fares; private car mileage; parking fees; bridge tolls; taxi, bus, or streetcar fares; and auto rental fees when substantiated by a receipt.

4. **Note on use of autos:** If a contractor uses his or her car for transportation, the rate of pay will be **34 cents** maximum per mile. If the contractor is a person with a disability who must operate a motor vehicle on official state business and who can operate only specially equipped or modified vehicles they may claim a rate of **37 cents** per mile. If a contractor uses his or her car "in lieu of" airfare, the air coach fare will be the maximum paid by the State. The contractor must provide a cost comparison upon request by the state. Gasoline and routine automobile repair expenses are not reimbursable.

5. The contractor is required to furnish details surrounding each period of travel. Travel *expense reimbursement* detail may include, but not be limited to: purpose of travel, departure and return times, destination points, miles driven, mode of transportation, etc. *Reimbursement for travel expenses may be withheld pending receipt of adequate travel documentation.*

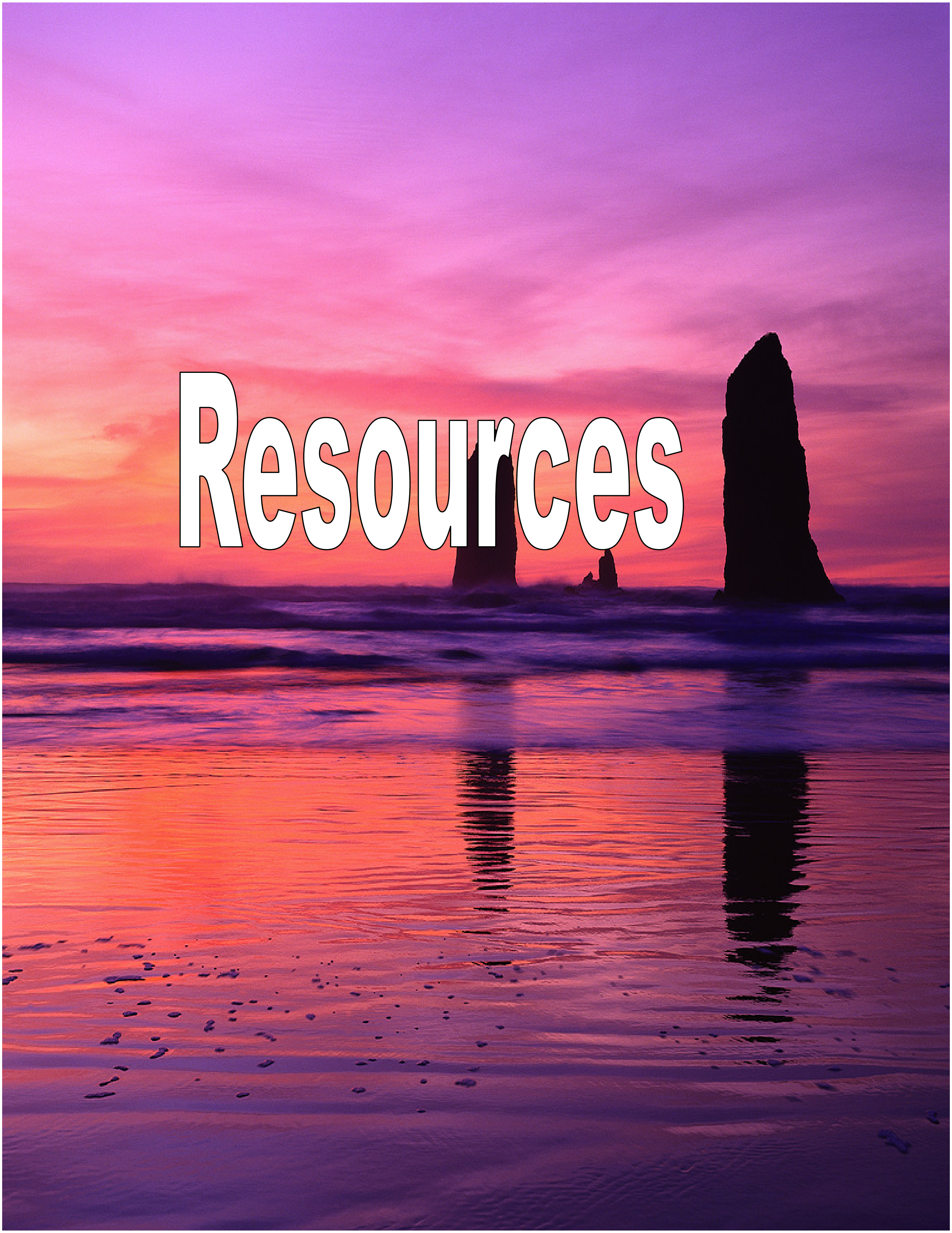
6. Contractors are to consult with the program with which the contract is held to obtain specific invoicing procedures.

Travel Reimbursement Guide

Length of travel period	This condition exists…	Allowable Meal(s)
Less than 24 hours	Travel begins at 6:00 a.m. or earlier and continues until 9:00 a.m. or later.	Breakfast
Less than 24 hours	• Travel period ends at least one hour after the regularly scheduled workday ends, or • Travel period begins prior to or at 4:00 p.m. and continues beyond 7:00 p.m.	Dinner
24 hours	Travel period is a full 24-hour period determined by the time that the travel period begins and ends.	Breakfast, lunch, and dinner
Last fractional part of more than 24 hours	Travel period is more than 24 hours and traveler returns at or after 8:00 a.m.	Breakfast
	Travel period is more than 24 hours and traveler returns at or after 2:00 p.m.	Lunch
	Travel period is more than 24 hours and traveler returns at or after 7:00 p.m.	Dinner

7. *At SWRCB' discretion, changes or revisions made by SWRCB to this exhibit, excluding travel policy established by DPA may be applied retroactively to any agreement to which a Travel Reimbursement Information exhibit is attached, incorporated by reference, or applied by SWRCB program policy.*

Resources



Glossary of Terms

Advance Payment	A payment issued before work has been performed or goods have been delivered. An advance payment is permissible for Prop 13 and Prop 50 Coastal NPS sub-account funded projects ONLY, up to 25% of total grant amount, and the grantee must abide by certain recoupment stipulations to repay the advance. Advance payments are not permissible for grants awarded through the 2005-06 Consolidated Grant solicitation process.
Agreement	A legally binding document between the State of California and another entity where services are rendered. This term refers to both contract agreements and grant agreements.
Amendment	A formal change to an executed agreement, such as the term dates, scope of work, or due dates.
Appropriation	Authorization of funds in the state budget for a specific time period. For example: July 1, 2003 through June 30, 2008 (Prop 50).
Deviation	Any change in the proposed scope of work prior to agreement execution or after agreement execution, requires written approval from the State Water Resources Control Board (State Water Board).
Division of Financial Assistance (DFA)	The division, within the State Water Board, that administers the grant program.
Encumbrance	Funds are committed to a particular agreement guaranteeing a source of payment.
Execution of Agreement	The act of signing an agreement providing a legal basis for required performance by all parties.
Equipment	The term equipment, in relation to grant agreement budget, refers to the purchase of any single piece of equipment that costs more than $5,000.
General Provisions	Terms and conditions that apply to all agreements for services. The General Provisions are contained in Exhibit C of the agreement.

Glossary of Terms

Grant Manager	A person designated by the State Water Board to manage performance of the grant agreement. For some grants this person may be referred to as the Project Manager. [Refer to Role of the Grant Manager]
Invoice	The State Water Board provides a template invoice to the grant recipient to request reimbursement for services performed. Receipts and/or other supporting documentation must be submitted with the invoice to justify the amount invoiced. Invoices are submitted on either a monthly or quarterly basis.
Items for Submittal	A product required in the grant agreement that is tangible and can be placed in the auditable file. For example, invoices, reports, permits, etc. These products are called deliverables in a contract agreement.
Joint Powers Agency	An agency formed by agreement of two or more public agencies. Under this arrangement, the joint powers authority may exercise any power common to the contracting parties (GC *§ 6502)*
Matching Funds	The portion of project costs paid by the grant recipient. Receipts and/or other supporting documentation must be submitted with the invoice to justify the amount of matching funds expended during reporting period for the invoice.
Modification	A MINOR change to an executed grant agreement not requiring a formal amendment. For example, a budget adjustment (transferring up to 15% between line items), or changes in contact information.
Monitoring Plan	A plan delineating location, and identifying frequency and constituents for projects including sampling and monitoring. If a Monitoring Plan is required, a Quality Assurance Project Plan (QAPP) is also required.
Negotiation	A series of steps taken by the Project Director, Grant Manager, and Program Analyst to prepare the scope of work for the grant agreement based on the recipient's initial proposal.

Glossary of Terms

Non-profit Agency	A group, often a corporation, organized for purposes other than generating profit. For example: a charitable, educational, religious, or scientific organization. The grant recipient must provide the State Water Board documentation of non-profit status per IRS Section 501(c)(3), 501(c)(4) or 501(c)(5) prior to scope of work negotiations.
Non-state Agency	Any entity that is not a State of CA agency. For example, Resource Conservation Districts, local government agencies, municipalities, non-profit organization, etc.
Operating Expenses (direct)	Grant recipient's business expenses that are direct charges to the project. For example, printing, postage, office supplies. Personnel costs (including benefits), rent, utilities, etc. may be included in the grant budget as direct costs with supporting documentation explaining how the costs were prorated specifically for project.
Operating Expenses (indirect) (Administrative Overhead)	Grant funds may not be used to pay for indirect costs such as administrative overhead. However, matching funds may be used to cover indirect costs. Indirect costs are typically a percentage, or pro rated share, of operating expenses attributable to a function or activity but not necessarily generated directly by the function or activity. For example, personnel salaries and benefits, rent, equipment, materials, and utilities. For federal 319(h) funds only, indirect costs are allowable. Any rate exceeding 15% of the grant award, requires written justification.
Payee Data Record	The Payee Data Record (STD 204) is required for non-government agencies to collect the tax identification number.
Payment in Arrears	Payment made <u>after</u> work is performed. Invoice must be submitted with supporting documentation for the work performed during the billing period.

Glossary of Terms

Personnel Services	Budget line item that includes salaries and benefits for wage-earning personnel employed by the grant recipient to work on the project. May be budgeted using grant funds and/or match funds. The Personnel Services budget line item does not include services that are contracted out.
Professional/Consultant Services	Budget line item used when the grant recipient contracts out services that require a recommended course of action or personal expertise (i.e., laboratory services).
Project Identification Number (PIN)	Unique number assigned to each grant application by the State Water Board.
Program Analyst	A person designated by the State Water Board who is responsible for the administrative aspect of grant agreement. [Refer to Role of the Program Analyst]
Program Manager	Employee of the State Water Board, Division of Financial Assistance, responsible for the management of the grant award and administration process.
Progress Report	The Progress Report is due either monthly or quarterly and describes the work performed on the project during the reporting period. Any item for submittal that is due during the reporting period is attached to the Progress Report. For example the PAEP, permits, photos, etc.
Project Assessment and Evaluation Plan (PAEP)	The PAEP outlines information that will be collected and used to show progress, identify problems, and measure success. Assistance in preparing a PAEP is available at: http://www.waterboards.ca.gov/funding/paep.html.
Project Director	An employee designated by the grant recipient's organization, responsible for management of the technical and administrative aspects of the grant agreement. [Refer to Role of Project Director]

Glossary of Terms

Quality Assurance Project Plan (QAPP)	The Quality Assurance Project Plan, or QAPP, is a written document that outlines the procedures a monitoring project will use to ensure that the samples participants collect and analyze, the data they store and manage, and the reports they write are of high enough quality to meet project needs. A QAPP checklist that will assist in understanding what the Grant Manager and Quality Assurance Officer are looking for when they review a QAPP is available at: http://www.waterboards.ca.gov/swamp/qapp.html. The USEPA website for QAPP information is: http://www.epa.gov/volunteer/qappexec.html.
Quality Assurance Project Plan (QAPP) and GAMA	Projects involving the monitoring of ground water must be in compliance with the Groundwater Ambient Monitoring and Assessment (GAMA) Program. Information about GAMA can be found at http://www.waterboards.ca.gov/gama/index.html.
Quality Assurance Project Plan (QAPP) and SWAMP	If project involves monitoring of surface waters, the QAPP must be drafted in accordance with the provisions of the Surface Water Ambient Monitoring Program (SWAMP). SWAMP guidelines can be found at http://www.waterboards.ca.gov/swamp/qapp.html.
Record Retention (for audit purposes)	**State Agencies** The IRS can audit bond monies for up to six years after the bond expires. The life of the bond is 30 years. Records for grants awarded to state agencies must be kept for 36 years. **Non-State Agencies** The IRS can audit bond monies for three years after the life of the project. If the project does not involve construction, the life of the project ends when the work is completed. Records for grants, without a construction project, must be kept for three years. The life of a construction project is 20 years. Records for grants, with a construction project, must be kept for 23 years.

Glossary of Terms

Resolution	A legal document designating an individual by title to: 1. Accept the grant award; 2. Enter into an agreement and any amendments with the State of CA; and 3. Sign the grant agreement on behalf of the recipient's governing board. State of CA Departments are excluded from this requirement.
Start Date	The start date of the grant agreement is agreed upon during the grant agreement negotiations and no work can begin prior to this date. The negotiated start date cannot precede the funding appropriation date.
State Agency	Any State of CA Department. For example, Department of General Services, Department of Fish and Game, Department of Parks and Recreation, etc.
Term Date	The term of the grant agreement begins with the start date and ends after the record retention period expires. The end term date depends on: • Type of agency (State vs. non-State) • Construction vs. non-construction project • Appropriation end date • Record retention period for audit purposes (depending on Department of Finance vs. IRS requirements)
Work Completion Date	The work completion date reflects the date that all work on the project must be finished and the final project report submitted. All work must be completed at least three months prior to the end of the appropriation to allow timely payment of the final invoice.

Acronyms

State Water Board Acronyms

CALFED	California Bay-Delta Authority
DAS	Division of Adminisrative Services
DFA	Division of Financial Services
FAAST	Financial Assistance Application Submittal Tool
GAMA	Groundwater Ambient Monitoring Assessment
GM	Grant Manager
MP	Monitoring Plan
PA	Program Analyst
PAEP	Project Assessment and Evaluation Plan
PD	Project Director
PM	Program Manager
QAPP	Quality Assurance Project Plan
RPU	Regional Programs Unit
SWAMP	Surface Water Ambient Monitoring Program
SWRCB	State Water Resources Control Board

Grant Funded Programs

AWQ	Agricultural Water Quality
CBI	Clean Beaches Initiative
CNPS	Coastal Nonpoint Source Pollution Control Program
DWQ	Dairy Water Quality
ICWM	Integrated Coastal Watershed Management
IMWP	Integrated Watershed Management Program
IRWM	Integrated Regional Water Management
LESJA	Lake Elsinore/San Jacinto
NPS	Nonpoint Source
SAWPA	Santa Ana Watershed Protection Agency
SRF	State Revolving Fund
USWP	Urban Stormwater Program

Commonly Used Acronyms

BMP	Best Management Practice
Cal/EPA	California Environmental Protection Agency
CCC	California Coastal Commission
CCR	California Code of Regulations
CEQA	California Environmental Quality Act
CWA	Clean Water Act
CWC	s
DFG	Department of Fish and Game
DWQ	Department of Water Resources
EIR	Environmental Impact Report
GIS	Geographic Information System

Acronyms

Commonly Used Acronyms

GPS	Global Positioning System
IWMP	Integrated Watershed Management Program
IS	Initial Study
MMP	Mitigated Monitoring Plan
MND	Mitigated Negative Declaration
ND	Negative Declaration
NEPA	National Environmental Policy Act
NOD	Notice of Determination
NOP	Notice of Preparation
NRPI	Natural Resources Project Inventory
OPC	Ocean Protection Council
PRC	Public Resources Code
QA	Quality Assurance
RCD	Resource Conservation District
SCH	State Clearinghouse
TMDL	Total Maximum Daily Load
USEPA	United State Environmental Protection Agency
WC	Water Code
WMA	Watershed Management Area

State Water Resources Control Board

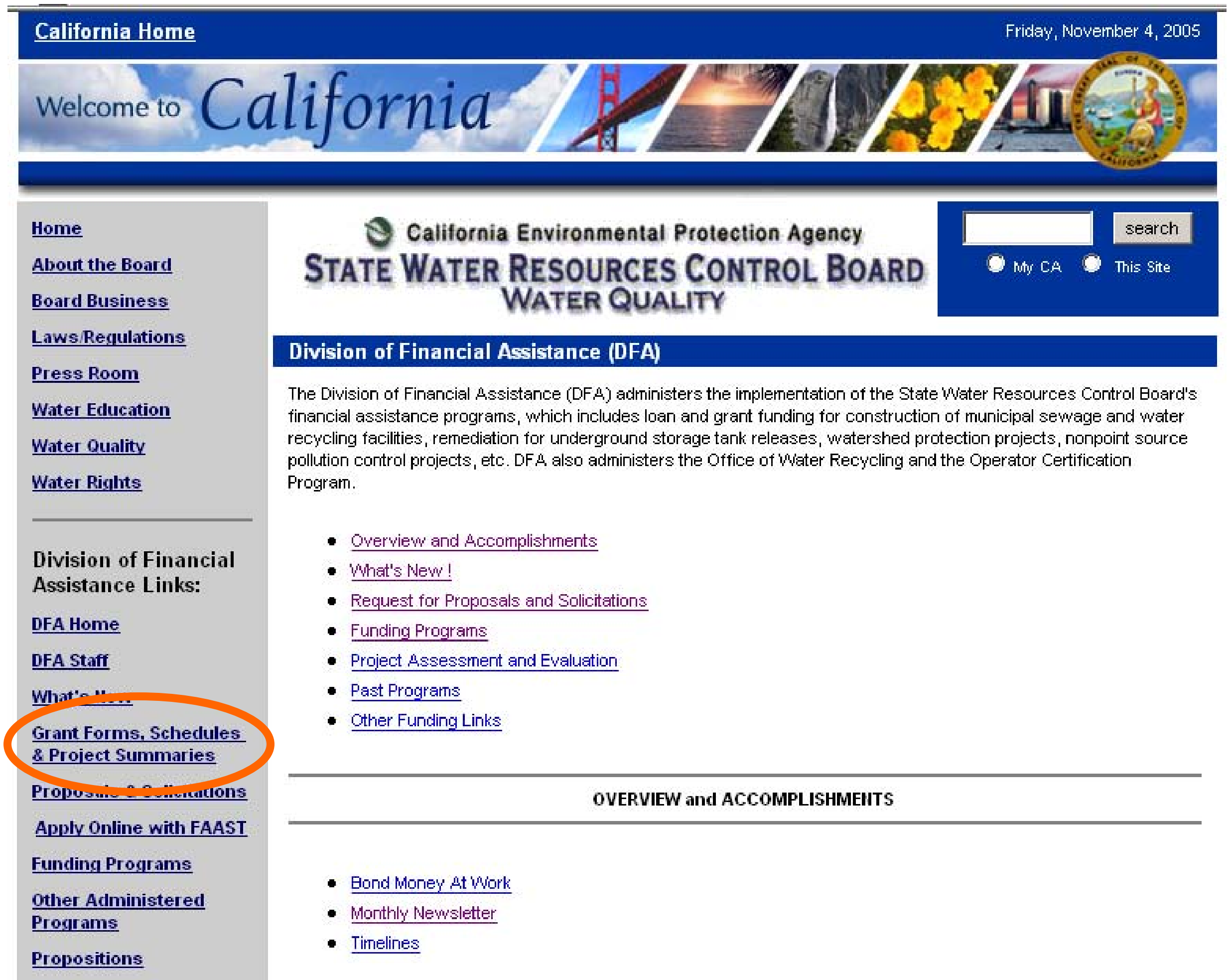
Home Page

http://www.waterboards.ca.gov

Where can I find forms, templates, project schedules, and grant summaries?

Click on the **Grants and Loans** icon which links to the Division of Financial Assistance (DFA) web page.

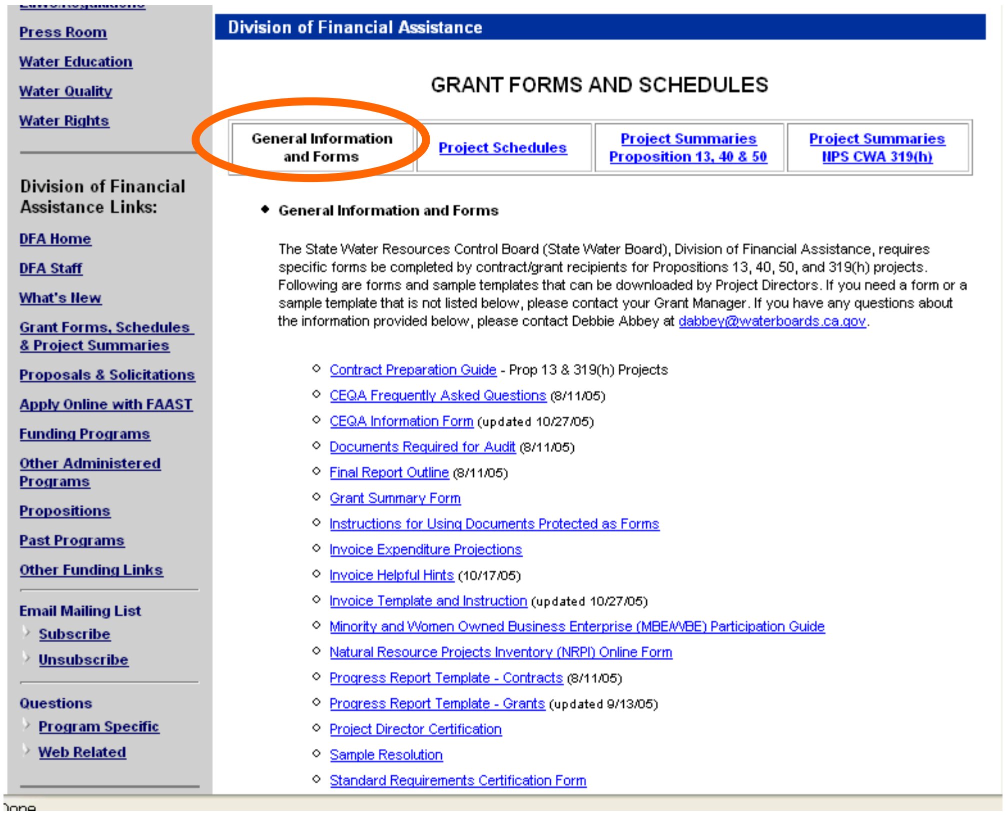
Click on the Grant Forms, Schedules & Project Summaries link



Click on the links below to navigate between the four options. Web address: http://www.waterboards.ca.gov/funding/grantinfo.html

General Information and Forms

Document and forms that Project Directors need access to.



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Division of Financial Assistance

GRANT FORMS AND SCHEDULES

General Information and Forms	Project Schedules	Project Summaries Proposition 13, 40 & 50	Project Summaries NPS CWA 319(h)

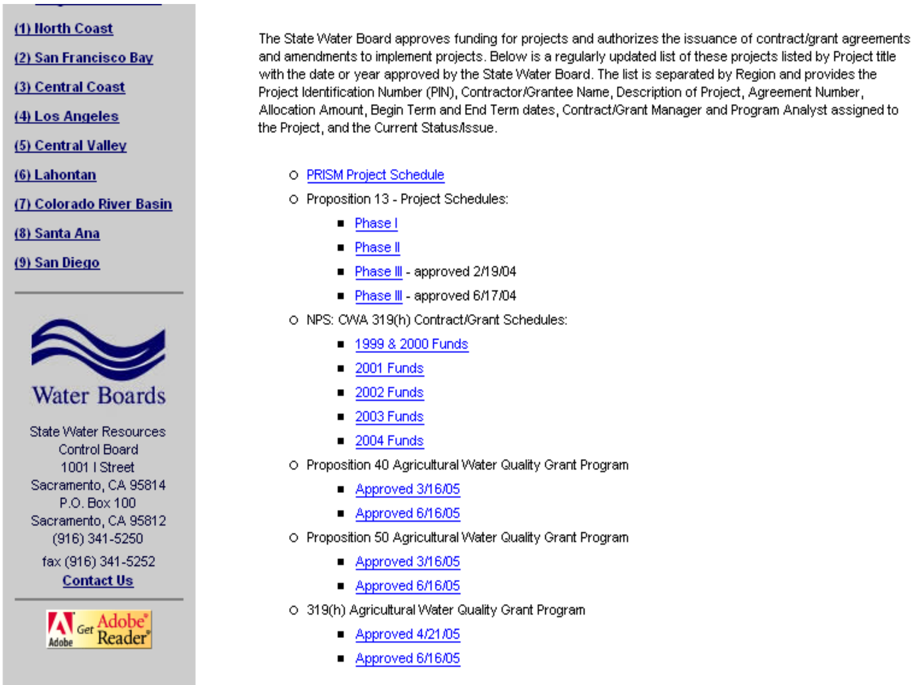
- General Information and Forms

The State Water Resources Control Board (State Water Board), Division of Financial Assistance, requires specific forms be completed by contract/grant recipients for Propositions 13, 40, 50, and 319(h) projects. Following are forms and sample templates that can be downloaded by Project Directors. If you need a form or a sample template that is not listed below, please contact your Grant Manager. If you have any questions about the information provided below, please contact Debbie Abbey at dabbey@waterboards.ca.gov.

- Contract Preparation Guide - Prop 13 & 319(h) Projects
- CEQA Frequently Asked Questions (8/11/05)
- CEQA Information Form (updated 10/27/05)
- Documents Required for Audit (8/11/05)
- Final Report Outline (8/11/05)
- Grant Summary Form
- Instructions for Using Documents Protected as Forms
- Invoice Expenditure Projections
- Invoice Helpful Hints (10/17/05)
- Invoice Template and Instruction (updated 10/27/05)
- Minority and Women Owned Business Enterprise (MBE/WBE) Participation Guide
- Natural Resource Projects Inventory (NRPI) Online Form
- Progress Report Template - Contracts (8/11/05)
- Progress Report Template - Grants (updated 9/13/05)
- Project Director Certification
- Sample Resolution
- Standard Requirements Certification Form

Project Schedules

Details of grant status during the administrative grant agreement development and execution process.



(1) North Coast
(2) San Francisco Bay
(3) Central Coast
(4) Los Angeles
(5) Central Valley
(6) Lahontan
(7) Colorado River Basin
(8) Santa Ana
(9) San Diego

Water Boards

State Water Resources Control Board
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Sacramento, CA 95814
P.O. Box 100
Sacramento, CA 95812
(916) 341-5250
fax (916) 341-5252
Contact Us

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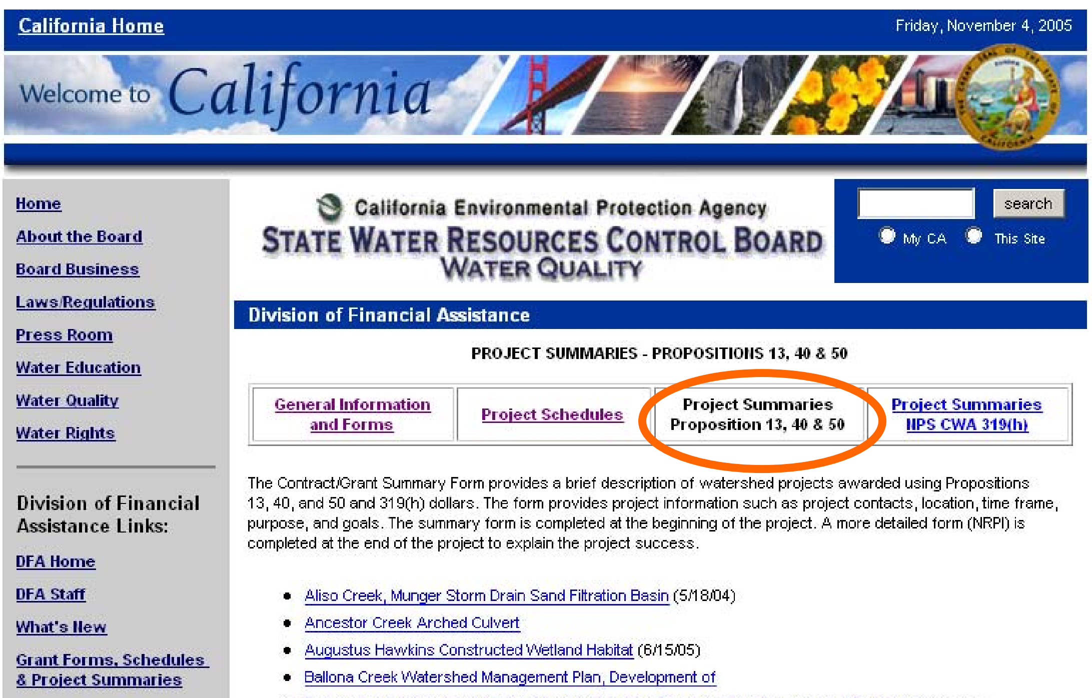
The State Water Board approves funding for projects and authorizes the issuance of contract/grant agreements and amendments to implement projects. Below is a regularly updated list of these projects listed by Project title with the date or year approved by the State Water Board. The list is separated by Region and provides the Project Identification Number (PIN), Contractor/Grantee Name, Description of Project, Agreement Number, Allocation Amount, Begin Term and End Term dates, Contract/Grant Manager and Program Analyst assigned to the Project, and the Current Status/Issue.

- PRISM Project Schedule
- Proposition 13 - Project Schedules:
  - Phase I
  - Phase II
  - Phase III - approved 2/19/04
  - Phase III - approved 6/17/04
- NPS: CWA 319(h) Contract/Grant Schedules:
  - 1999 & 2000 Funds
  - 2001 Funds
  - 2002 Funds
  - 2003 Funds
  - 2004 Funds
- Proposition 40 Agricultural Water Quality Grant Program
  - Approved 3/16/05
  - Approved 6/16/05
- Proposition 50 Agricultural Water Quality Grant Program
  - Approved 3/16/05
  - Approved 6/16/05
- 319(h) Agricultural Water Quality Grant Program
  - Approved 4/21/05
  - Approved 6/16/05

Project Summaries – Propositions 13, 40, and 50

Direct link http://waterboards.ca.gov/funding/projsum1350.html



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Division of Financial Assistance

PROJECT SUMMARIES - PROPOSITIONS 13, 40 & 50

General Information and Forms | Project Schedules | Project Summaries Proposition 13, 40 & 50 | Project Summaries NPS CWA 319(h)

The Contract/Grant Summary Form provides a brief description of watershed projects awarded using Propositions 13, 40, and 50 and 319(h) dollars. The form provides project information such as project contacts, location, time frame, purpose, and goals. The summary form is completed at the beginning of the project. A more detailed form (NRPI) is completed at the end of the project to explain the project success.

- Aliso Creek, Munger Storm Drain Sand Filtration Basin (5/18/04)
- Ancestor Creek Arched Culvert
- Augustus Hawkins Constructed Wetland Habitat (6/15/05)
- Ballona Creek Watershed Management Plan, Development of
- Ballona Creek Watershed, Methodology to Prioritize Structural Best Management Practices (5/31/05)

Project Summaries – NPS – Clean Water Act, 319(h)

Direct link http://waterboards.ca.gov/funding/projsum319h.html

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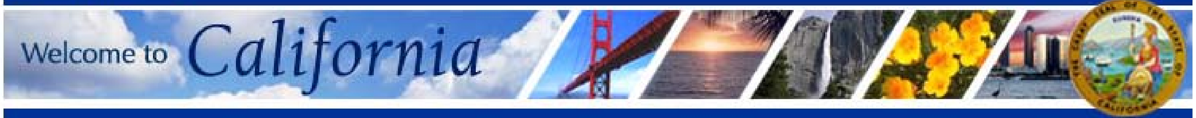

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Division of Financial Assistance (DFA)

PROJECT SUMMARIES - 319(h) CLEAN WATER ACT

General Information and Forms	Project Schedules	Project Summaries Proposition 13, 40 & 50	Project Summaries NPS CWA 319(h)

The Contract/Grant Summary Form provides a brief description of watershed projects awarded using Propositions 13, 40, and 50 and 319(h) dollars. The form provides project information such as project contacts, location, time frame, purpose, and goals. The summary form is completed at the beginning of the project. A more detailed form (NRPI) is completed at the end of the project to explain the project success.

- Alturas, California, River Center (Pit River)
- Arroyo Grande Water Quality Enhancement Project (AGWQEP) (2/22/05)
- Apanolio Canyon Steelhead Passage Project
- Bear River Mercury Loading Project

Grant Related Web Links

3-Way Conference Call Checklist	not posted yet
Board Resolution Sample	http://www.waterboards.ca.gov/funding/docs/grantinfo/sampleresolution.doc
CEQA - CA Environmental Resource Evaluation System (CERES)	http://ceres.ca.gov
CEQA - CERES - CEQA direct link	http://www.ceres.ca.gov/ceqa
CEQA - Environmental Information Form	http://www.waterboards.ca.gov/funding/docs/grantinfo/info_form.doc
CEQA - State Clearinghouse	http://www.ceqanet.ca.gov/QueryForm.asp?
CEQA - State Water Board FAQs	http://www.waterboards.ca.gov/funding/grantinfo.html
CEQA - Statute Definitions	http://ceres.ca.gov/ceqa/stat/Ch_2.5.html
CEQA Guidelines	http://ceres.ca.gov/topic/env_law/ceqa/guidelines
Department of General Services Contract Manual	http://www.ols.dgs.ca.gov/Contract+Manual/default.html
Documents Required for Audit	http://www.waterboards.ca.gov/funding/grantinfo.html
Final Report Outline	http://www.waterboards.ca.gov/funding/grantinfo.html
GAMA - Groundwater Ambient Monitoring Assessment	http://www.waterboards.ca.gov/gama/index.html
Grant Summaries	http://www.waterboards.ca.gov/funding/grantinfo.html
Grant Summary Form	http://www.waterboards.ca.gov/funding/docs/grantinfo/grantsum.doc
Instructions for Using Documents Protected as Forms	http://www.waterboards.ca.gov/funding/grantinfo.html
Invoice - Travel Reimbusement Information	http://www.waterboards.ca.gov/funding/grantinfo.html
Invoice Expenditure Projections	http://www.waterboards.ca.gov/funding/docs/grantinfo/exp_proj.xls
Invoice Helpful Hints for Submitting	http://www.waterboards.ca.gov/funding/grantinfo.html
Invoice Supporting Documentation	not posted yet
Invoice Template	http://www.waterboards.ca.gov/funding/docs/grantinfo/invoice.xls
National Resource Project Inventory (NRPI) Project Survey Form	http://www.ice.ucdavis.edu/nrpi
PAEP Project Assessment and Evaluation Plan	http://www.waterboards.ca.gov/funding/paep.html
Progress Report - Grant	http://www.waterboards.ca.gov/funding/docs/grantinfo/progress_grant.doc
Project Director Certification Form	http://www.waterboards.ca.gov/funding/docs/grantinfo/pd_cert.doc
Project Director Negotiation Log	not posted yet
Project Schedules	http://www.waterboards.ca.gov/funding/grantinfo.html
QAPP - Quality Asssurance Project Plan Checklist	http://www.waterboards.ca.gov/swamp/docs/qa_checklist061404.xls
QAPP - Quality Asssurance Project Plan Template	http://www.waterboards.ca.gov/swamp/docs/swampqapp_template032404.doc
QAPP - State Water Board Web Site	http://www.waterboards.ca.gov/swamp/qapp.html
QAPP - USEPA QAPP Web Site	http://www.epa.gov/volunteer/quappexec.html
State Water Board	www.waterboards.ca.gov
SWAMP - Surface Water Ambient Monitoring Program	http://www.waterboards.ca.gov/swamp
USEPA's List of Violating Facilities (for contracts/subcontracts)	http://www.epls.gov